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ABSTRACT

With the passage of the Education Amendments of 1972, the Congress of the United States introduced to the nation's educators a new academic and educational environment. Included in those amendments, under Title XII, General Provisions, was Section 1202 pertaining to the establishment of state postsecondary education commissions, signifying an expanded awareness of the new multifacted environment of postsecondary education. Four constituencies interested in statewide coordination of higher education and 1202 commissions were brought together in the conference. The constituencies were the executive directors (or their representatives) of state 1202 commissions, officials of the U.S. Office of Education representing the executive or administrative interests in the federal government, and scholars from the higher education community who have been engaged in research on 1202 commissions. Formal papers and informal discussions from that meeting are presented. The papers discuss (1) information related to how states have proceeded in establishing the state postsecondary education commissions required by 1202 in the Education Amendments of 1972, including information about membership by states and provisions for coordination of postsecondary planning with vocational education and manpower planning; (2) problems facing 1202 commissions; and (3) whether or not the 1202 commissions should be dissolved, and, if not, how they can be improved. (Author/KE)

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CURRENT STATUS, PLANNING AND PROSPECTS OF THE 1202 STATE POSTSECONDARY COMMISSIONS

PROCEEDINGS OF A WORKING CONFERENCE
AT ARIZONA STATE UNIVERSITY, TEMPE
APRIL, 1975

Edited by
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Commission for Postsecondary Education

INTRODUCTION

With the passage of the Education Amendments of 1972, the Congress of the United States introduced to the nation's educators a new academic and educational environment. For included in those amendments, under Title XII, General Provisions, was Section 1202 pertaining to the establishment of state postsecondary education commissions. This section of the Amendments signified an expanded awareness of the multifaceted educational endeavors beyond the high school not formerly included in the restricted concept of "higher education." What Congress had officially recognized, and what the states' and the nation's educators were soon to recognize, was the new environment of postsecondary education.

To officially designate this greatly expanded educational arena known now as postsecondary education, the Federal Interagency Committee on Education (FICE) endorsed, in March, 1974, and distributed a new standard definition of an institution of postsecondary education. The FICE definition stated:

> A postsecondary educational institution is defined as an academic, vocational, technical, home study, business, professional, or other school, college or university, or other organization or person offering educational credentials or offering instruction or educational services (primarily to persons who have completed or terminated their secondary education or who are beyond the age of compulsory school attendance) for attainment of educational, professional, or vocational objectives.

Also in March of 1974, the U. S. Commissioner of Education invited each governor to either designate an existing agency or establish a new agency to serve as the state postsecondary education commission, or as they are commonly referred to, a "1202" commission. As of April, 1975, fifty-one states and territories have established such a commission and have received or will receive during the next funding cycle, federal assistance under Section 1203 of Title XII to conduct comprehensive statewide postsecondary educational planning.

The first federal funding authority designated specifically for these postsecondary education commissions was identified as assistance to the states in their postsecondary planning activities for the period from April 25, 1974 to June 30, 1975. After a little less than one year of operation, the executive directors and planning officers for the state commissions met at a two-day working conference at Arizona State University in Tempe, Arizona to assess the postsecondary planning activities of the commissions in terms of current status, issues and answers, and future prospects.

The conference was co-sponsored by the Center for the Study of Higher Education at Arizona State University, and the Arizona Commission for Postsecondary Education (Arizona's 1202 commission) in cooperation with the Education Commission of the States and the United States Office of Education.

Four distinct constituencies interested in statewide coordination of higher education and 1202 commissions were brought together in the conference. The primary constituency was, of course, the executive directors (or their representatives) of the state 1202 commissions. Attendees representing this constituency came from 41 different states. Officials of the United States Office of Education represented the Executive or administrative interests in the federal government. The federal interest was represented from a different direction by the congressional staff members who attended. Finally, the conference was enriched by the formally prepared presentations of scholars from the higher education community who have been engaged in research on 1202 commissions.

The proceedings of the conference as presented in this report are derived from either prepared papers or from tape recordings of the sessions. The papers are, of course, presented here verbatim. These comprise Part II in this report. All of the remainder of the conference, including panel discussions and all question and answer sessions following either panels or formal papers, were prepared from taped recordings. In many instances these had to be rather heavily edited for appropriate inclusion in these proceedings. However, in every case, the editors attempted to maintain fidelity to the thoughts and opinions presented. In most cases it was not possible to determine the identity of persons asking questions or commenting from the audience, however, we were able to identify the panelist, moderator, or paper presenter who responded. We hope that these edited proceedings of this initial conference for the executive officers of the Section 1202 state planning commissions contribute a valuable addition to the growing body of material on this new environment in postsecondary education.

TABLE OF CONTENTS

Page

PART I - PRESENTATIONS BY USOE OFFICIALS 1

John D. Phillips 1

Charles I. Griffith 4

PART II - FORMAL PAPERS 7

T. Harry McKinney 7

Question and Answer Session 24

Warren G. Hill 27

Ben Lawrence 36

Question and Answer Session 43

PART III - PANEL PRESENTATIONS AND DISCUSSIONS 51

Webster Buell 52

Robert Andringa 56

Discussion 64

Lanny Hassell 65

John Prince 70

Edwin Rumpf 72

Richard Millard 74

Question and Answer Session 78

PART IV - INFORMATIONAL SESSIONS

Charles I. Bunting 89

Question and Answer Session 92

Theodore H. Drews 94

PART I - PRESENTATIONS BY USOE OFFICIALS

USOE officials opened the Conference with presentations that recapitulated the original congressional intent expressed in Section 1202 of the Higher Education Amendments of 1972, and that provided guidelines for planning grant activities - ed.

Following are the remarks of John D. Phillips, Associate Commissioner for Student Assistance:

"As a background for our consideration and discussion at this conference, it would be useful to repeat very briefly some of the general assumptions that were set forth a little over two years ago concerning the intent and purposes of Section 1202 of the Higher Education Amendments of 1972. I hope that you can use these points as a kind of a text for the discussion this morning, and again for this afternoon's conversation. First, the simple and basic intent of the law is to encourage and support comprehensive state planning for postsecondary education through broadly and equitably representative state commissions. The federal rules and regulations were designed to facilitate flexible, individualized state-by-state responses to this congressional encouragement. In other words, while the initiative and incentive for establishment of these commissions emanates from the federal government, the authority for establishment of commissions and the conduct of statewide planning remains firmly lodged with the states; and the authority for operation of postsecondary educational programs remains just as firmly lodged in the governing boards of private nonprofit, proprietary and state sponsored public institutions. Therefore, the federal rules and regulations should be designed with 50 states in meeting the requirements of the law as simply and conveniently as possible, allowing sufficient flexibility for the states to tailor the organization and operation of the section 1202 state commissions to meet needs, circumstances and preferences. Secondly, the concept of broadly and equitably representative state commissions as set forth in Section 1202a of the law reflects congressional concern that representatives of various types of postsecondary education institutions be drawn together as peers with representatives of the general public to work together in planning at the state level to meet the goal that 'all persons who desire and who can benefit from postsecondary education may have an opportunity to do so.' This concern is not intended to negate effective planning already being undertaken by various state bodies, but rather to enable the states to reinforce and expand coordinated statewide planning activities embracing the full range of postsecondary education resources and services with special attention to planning for community college education and occupational education. Third, the authorization for establishment of committee or task forces by other state commissions as set forth in Section 1202b of the law reflects congressional concern that effective planning for postsecondary education as a whole and for any of its parts should involve and include as broad a range of effective publics and agencies as possible, and should benefit from those persons particularly well-qualified to supply information and advice. Since not all interests, agencies and experts can be included within the membership of the state commissions, each commission is encouraged to establish appropriate committees or task forces to assure the involvement of their knowledge and concerns in the commission's planning activities. Utilization of such committees or task forces to assist the work of the commissions should not, however, be confused with the representation requirements that must be met within the composition of the membership of the 1202 state commission itself. Fourth, the law encourages each state which desires to receive program grant assistance under Section 1203 and/or Title X to develop an overall framework and process which will encompass an integrated area of planning activities for all of postsecondary education, that is, public and private, nonprofit and proprietary. However, the provisions of Section 1202c and d make it clear that provision of an overall planning process need not necessarily involve the creation of an overall planning agency. The state may strictly limit the legal authority of the Section 1202 state commission for the planning activities which are assigned under authority of Section 1203 and/or Title X of the law. In this case the 1202 commission would simply assume a place ascribed to it by the state along with other existing state agencies and commissions within a comprehensive postsecondary educational planning framework established by the state. At the other extreme, a state could define the legal authority of the Section 1202 state commission to include a broad range of planning, coordinating, and even governing responsibility for postsecondary education within the state in addition to the activities assigned to the commission by federal statutes. These options and a variety of options in between are left by the law to the discretion of the state. In this sense the law must be regarded as permissive legislation rather than a firm mandate for any particular set of administrative arrangements. The fifth point I would like to make is that Section 1203 of the law not only permits but encourages a comprehensive coordinated approach to statewide planning for postsecondary education in its authorization of federal grants and technical assistance to the Section 1202 state commissions for 'comprehensive inventories of and study with respect to all public and private postsecondary educational resources in the state.' Furthermore, while this section of the law should not be construed as a mandate for general coordinative power to be placed in the hands of the Section 1202 state commissions, the law anticipates that the comprehensive assessment of postsecondary educational resources may reveal the necessity 'for such resources to be better coordinated, improved, expanded or altered' to meet the postsecondary educational needs of the state. The language of Section 1203 also makes clear that all planning activities assigned to the Section 1202 commissions (including the planning for community college education, occupational education, as well as overall statewide planning) should not be conducted in isolation but should involve the consultative and coordinated efforts of all segments of the postsecondary educational community. Finally, the requirement that Section 1202 state commissions be afforded an opportunity to comment upon funding applications in postsecondary educational institutions under sections 404 of the law referring to programs of improvement of postsecondary education reflects a congressional desire to ensure that such proposed improvements be considered within the context and perspective of state postsecondary planning activity. While it should be noted that the law empowers the state commissions only to review and not to veto such applications, the knowledge and skills acquired by the commissions in the conduct of various statewide planning activities should be of major value to the HEW office responsible for awarding funds under this program.

"These are some of those guiding assumptions that we set down on paper with the help of many of you a little over two years ago. I would hope that we could conduct this discussion and review of what has been going on so far with an appreciation of some larger dimensions that were in the Act which I recited for you this morning. Also in order would be some honest, perhaps self-critical, appraisal of this experiment now that we are approaching three years since the enactment of this law. I would hope that these discussions can also center on the whole relationship between postsecondary planning and vocational education planning which I think is a terribly critical part of this overall appraisal whether or not Title X is funded. I would also hope that you could provide us with some kind of guidelines as to how we think we ought to be responding to the 1202 commissions in the next few months and the next year, and that we could get a good exchange of views. I'm frankly at this moment a little bit disturbed--I'm very much concerned that what might easily happen here is what happened to too many other bold federal initiatives: They can start and become politically important and lots of people can be involved and worried about them; there's a frantic amount of activity and then finally matters are resolved in terms of where the experiment is going to fit in the political firmament of a given state. Then it takes its place along side of existing programs and begins to develop its own momentum, its own constituency, its own staff, which then can become rather insistent upon continuation of the program for reasons that are altogether clear. I hope this doesn't happen. I've invested two years or more of my energy in trying to make this thing work and I know alot of you have spent much more time than I have considering that your present assignment with the 1202 commission is really an extension of long years of laboring in the field of planning and coordination at the state level. I would hope that this conference could be an evaluation assessment and an effort to locate some new dimensions; to measure what we are doing and what we are accomplishing against the law itself and the assumptions that guided our initial efforts."

Following is an abstract of the remarks by Charles I. Griffith, Director, State Planning Commissions Program. Only the highlights of general interest are presented here since most of his comments pertained to operational details specific to grant activities in the remaining few weeks of the fiscal year, or were in direct response to highly detailed questions concerning activities in a specific state - ed.

"The applications this year are reflecting to a greater degree than last year the spirit of Section 1202. More coordination and communication is evident, at least between the higher education and the vocational education sector in the states. Last year, as you all know, we had 47 commissions established. I think that surprised everybody. It bears out the comment by Dr. Millard that this type of agency was an idea whose time had come and for this type of planning to begin at the state level.

"Most of the activities under the 1974 proposals are going along fairly well at this point. Some states did have problems in getting started, staffing up and so forth, but I think those problems are overcome now and everything is moving fairly well in the states; at least, indications from the semi-annual reports and the four or five program reviews I've been able to do this year point that way. Since last year we've had four more commissions established. In January when it looked like we might get some money, we contacted the Governors in the six states and territories that did not have one as of last year and asked them if they wanted to reconsider in the event we would be funded this year. As a result of that letter, we did get a commission established in Virginia and in the Virgin Islands. We now have four states that don't have a 1202 commission, namely, Colorado, North Carolina, Tennessee, and Wisconsin. We had 50 applications filed this year and we will have the final allocations published as soon as the final formula is approved.

"Last November we had a meeting of the 1202 commission directors in Washington. They indicated that we should give a little more guidance in planning activities included in Section 1203, what projects are eligible and what the activities should be. So we arrived at a list of six very broad goals to which the applications should be addressed. This was published in the Federal Register. The allocation formula that we used gave every state at least as much as they got last year, and then distributed the balance of the money that was left on the basis of the ratio of the population of postsecondary age in a given state to the total of all those states which applied. We had discussed and cleared the formula and the general guidelines with all of you. Last January we published the proposed allocation formula and guidelines.

"We then had to wait 30 days after they were published as proposed guidelines and formulas in the Federal Register for commentary. The final package has now gone forward for approval. Once this is finally approved and published in the Federal Register, we will then be ready to make the grant awards. Hopefully we'll be able to get the grants out to you by the end of April. Assuming we can get it cleared within two to three weeks, congressional notification will be sent and the grant awards will be in the mail as soon as possible thereafter. I don't think anyone really knows at this time whether or not we will get the funding for fiscal year 1976. The administration, of course, proposed no funding for next year. If Congress does restore money and if we operate again next year, I think we really need to get some input from you here or shortly after the conference as to what you feel we should do -- how directive we should be. Should we issue detailed regulations, identify priority areas, and so forth?

"In our current grant agreement we state that you can start incurring costs from the date of the grant. So if we can make a grant April 20, you can start spending the money as soon as you get the grant, retroactive to that date. Last year, I think we went back to April 25, the cut-off date for the establishment of the commissions. We will keep you posted on any developments as far as the funding is concerned for next year. If we are funded, you might be thinking in terms of what might be an equitable formula for allocation, as well as regulations, guidelines, and so forth. Your suggestions would be most helpful."

PART II - FORMAL PAPERS

Three formal papers, prepared specifically for the Conference, were presented at different points in the program. The authors and presenters of the papers are three of the most eminent persons in the field of coordination, Dr. T. Harry McKinney, Dr. Warren G. Hill, and Dr. Ben Lawrence. The McKinney and Lawrence papers were presented in general sessions and included a question-and-answer period immediately following. Dr. Hill presented his papers at a banquet. This setting did not permit a discussion session following the presentation- ed.

Following is the paper presented by Dr. T. Harry McKinney, Professor of Higher Education, Michigan State University.

SECTION 1202 STATE COMMISSIONS: PATTERNS OF DEVELOPMENT AND RELATED CONCERNS

One of the objectives of the study that has just been completed by the Education Commission of the States at the request of the National Advisory Council on Vocational Education called for an analysis of how states have proceeded in establishing the state postsecondary education commissions required by Section 1202 in the Education Amendments of 1972, including information about membership by states and provisions for coordination of postsecondary planning with vocational education and manpower planning.

As you know, it was my responsibility to obtain information related to this objective and to analyze results. Briefly, procedures used for this purpose included review of responses from governors to the letter of March 1, 1974, from the U.S. Commissioner of Education regarding the establishment of Section 1202 state commissions, examination of program narrative statements included in applications for funding during 1974-75, collection of additional information from you and your colleagues in other states, and discussion of findings with various persons representing different segments of postsecondary education at both state and national levels.

A detailed analysis of membership on the commissions was published early last summer by the Education Commission of the States. With your assistance, this information has been updated to January 1, 1975, for most states and will appear in the final report along with information about proposed activities and coordination of planning efforts.

My purpose here is not to describe what you will find in the report. Instead, it would seem more helpful to concentrate on some basic patterns involving the different types of state agencies responsible for postsecondary programs throughout the nation as a basis for understanding some of the concerns that people have expressed during the past year.

Current Situation

Before doing that, however, let me offer some general observations about the current situation.

First, a total of 46 states and all five eligible territories have established or designated state commissions for the purpose of meeting requirements in Section 1202. Furthermore, all of these except Alaska have applied for funding in 1975-76. States without commissions at this time are Colorado, North Carolina, Tennessee, and Wisconsin.

Second, a tabulation of options chosen in establishing or designating these commissions which takes into consideration three changes since the beginning of the current fiscal year reveals that 16 states plus 3 territories have chosen the option of creating new commissions, 19 states have chosen the option of designating existing state agencies or state commissions, and 11 states plus 2 territories have chosen the option of augmenting existing state agencies or state commissions. However, different interpretations of the options by five states would have resulted in the conclusion that we have new commissions in 11 states, designated commissions in 22 states, and augmented commissions in 13 states.

Third, most of the state agencies or state commissions that have been designated or augmented are coordinating agencies or governing boards for public institutions of higher education.

Fourth, updated information about membership on the various commissions leads to the same general conclusions drawn from data published last summer, namely that new commissions usually include at least one person who has been designated as being representative of the interests of the general public and each type of institution mentioned in the law, that representation on designated bodies is generally viewed by governors as being adequate in terms of legal requirements even though individual members could not always be identified with specific types of institutions, and that new members on augmented bodies were generally designated for the express purpose of improving representation from the general public or specific types of institutions.

Fifth, proposed activities for the current fiscal year range from those with a wide focus on comprehensive statewide planning as a whole to those with a narrow focus on specific projects related to that process. Categories used to group these activities are: assessment of planning efforts or mechanisms, development of cooperative relations, development of comprehensive statewide plans, development or expansion of inventories, development or expansion of data bases, studies of educational needs, and studies of financial needs.

Sixth, efforts to coordinate activities under Section 1203 with vocational education and manpower planning vary from state to state, with some states making determined efforts in this regard while others are doing relatively little.

And last, limited efforts to obtain coordination can be traced partly if not primarily to limited funding for Section 1203 and lack of funding for Title X.

Basic Patterns

Let us turn now to some diagrams that show the different types of agencies responsible for supervision, administration, coordination, or governance of educational programs on a statewide basis. In general, these agencies are classified as state boards of education, state boards for vocational education, and statewide coordinating agencies for higher education. The last of these is defined here to include consolidated governing boards in states that do not have legally-established coordinating agencies.

These diagrams of necessity do not reflect the complexities of educational structures in the various states, particularly those related to higher education. Two excellent sources of detailed information, including diagrams, are a report by J. L. Zwingle and Mabel E. Rogers entitled *State Boards Responsible for Higher Education, 1970* and a report by Harry L. Phillips entitled *Report of the Governor's Commission on Education: Educational Structures of the 50 States*. A third source of detailed information on a state-by-state basis which does not have diagrams but can be very useful in understanding the totality of postsecondary education is a report by Sam P. Harris entitled *State Departments of Education, State Boards of Education, and Chief State School Officers*. The title is misleading, because the report includes a description of statewide coordinating agencies for higher education.

The first diagram (Exhibit 1) shows a state that has only one agency with primary responsibility for supervision, administration, coordination, or governance of educational programs on a statewide basis, an agency usually referred to as a state board of education (SBE). In other words, there is no independent agency for administration of vocational education programs (SBVE) and no independent agency for coordination of public institutions of higher education (CAHE).

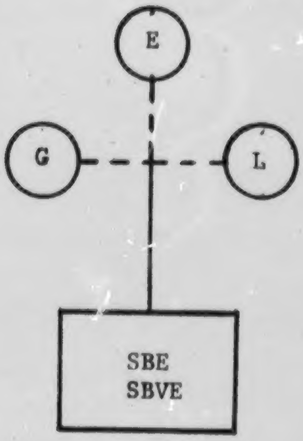
There are 10 states in this category. In 3 of the states--Delaware, Nebraska, and Vermont--the agency does not have legal responsibility for coordination of public institutions of higher education. In the other 7 states--Florida, Idaho, Michigan, Montana, New York, Pennsylvania, and Rhode Island--it does have this responsibility.

The next diagram (Exhibit 2) shows a state that has two agencies with primary responsibility for supervision, administration, coordination, or governance of educational programs on a statewide basis. One is a state board of education (SBE) which is responsible for general supervision of elementary and secondary schools, which has been designated as the state board responsible for administration of vocational education programs (SBVE), and which may be responsible for general supervision, coordination, or governance of some institutions of higher education, particularly community colleges. The other is an agency which has primary responsibility for coordination or governance of public institutions of higher education (CAHE) excluding perhaps those institutions under the state board of education.

There are 33 states in this category if we include at least two--Arizona and Mississippi--that have two separate agencies with primary responsibility for coordination of public institutions of higher education, one for four-year institutions and one for two-year institutions. The other states are Alabama, Alaska, Arkansas, California, Connecticut, Georgia, Hawaii, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Minnesota, Missouri, Nevada, New Hampshire, New Jersey, New Mexico, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, South Carolina, South Dakota, Tennessee, Texas, Utah, and Virginia. In addition, it should be noted that in Hawaii the Board of Regents serves as the state board for vocational education (SBVE).

The next diagram (Exhibit 3) shows a state that has three agencies with primary responsibility for supervision, administration, coordination, or governance of educational programs on a statewide basis. One is a state board of education (SBE) which is responsible for general supervision of elementary and secondary schools and may be responsible for supervision, coordination, or governance of some public institutions of higher education. Another is

Exhibit 1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SBE
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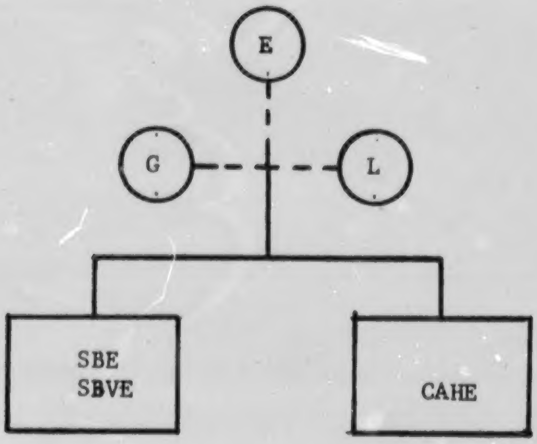
Exhibit 2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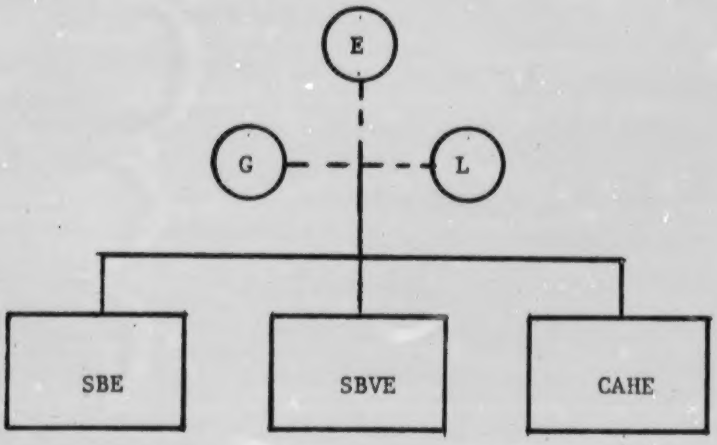
CAHE

Exhibit 3


E
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SBE
SBVE
CAHE

an independent agency which has been designated as the state board responsible for administration of vocational education programs (SBVE). The third is an independent agency responsible for coordination or governance of all public institutions of higher education (CAHE) excluding perhaps those under the state board of education.

There are six states plus the District of Columbia in this category if we include Wisconsin, which does not have a state board of education, and Washington, which has two independent coordinating agencies for public institutions of higher education. The other four states are Colorado, Illinois, Indiana, and Oklahoma.

Section 1202 and Related Concerns

This brings us to the wording of Section 1202 and related amendments to the Higher Education Act of 1965. What does this legislation mean in terms of the basic patterns described above? Why are people concerned about what has happened in response to it?

As you know, Section 1202 requires every state that wants to receive assistance under Section 1203 or Title X to establish or designate a state commission that is broadly and equitably representative of the general public and three broad classes of postsecondary institutions--public, private nonprofit, and proprietary. It also lists specific types of institutions to be included in this representation. However, it does not explain what the commissions are supposed to do. We must look to Section 1203 and Title X for that information.

Section 1203 authorizes grants and technical assistance to any commission of this kind "to assist it to expand the scope of the studies and planning required in Title X through comprehensive inventories of, and studies with respect to, all public and private postsecondary educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all persons within the State who desire, and who can benefit from, postsecondary education may have an opportunity to do so." Unfortunately, this wording can be interpreted at least two ways. One interpretation leads to the conclusion that activities under Section 1203 are supplemental to and perhaps less important than those described in Title X. The other leads in the opposite direction.

Evidence to support the first conclusion is suggested by the word "expand" in the phrase "to expand the scope of the studies and planning required in Title X". This indicates a predisposition toward Title X in terms of overall activities. To expand means to enlarge or build upon something that already exists. Furthermore, the wording that follows this phrase emphasizes inventories and studies rather than planning. True, the heading calls for comprehensive statewide planning. But the wording of Section 1203 is not consistent with the usual meaning of this term.

The other conclusion is supported by the fact that Congress appropriated funds for Section 1203 but not for Title X. In addition, as the work done by Aims McGuinness reveals, the history of this legislation indicates at least some justification for viewing Section 1203 independently of Title X. But the fact remains that two interpretations are possible, which means that Title X deserves close attention despite the lack of funding.

As you know, Title X has three parts. Part A provides assistance for establishment and expansion of community colleges; Part B supports the development of occupational education programs; and Part C calls for establishment of certain agencies in the U. S. Office of Education to administer and coordinate these activities.

If we look at Part A in terms of responsibilities assigned to Section 1202 state commissions, we find in Section 1001 of Subpart 1 that the commission in each state which desires to receive assistance under that Subpart must develop a statewide plan for the expansion or improvement of postsecondary programs in community colleges. The law lists specific elements which the plan must include and calls for establishment of an advisory council on community colleges to assist in developing the plan. It also requires inclusion on the council of a substantial number of persons having responsibility for the operation of community colleges, representatives of state agencies having responsibility for or an interest in postsecondary education, and representatives of the general public.

Subpart 2 authorizes three types of grants--establishment grants, expansion grants, and lease of facilities grants. Grants are to be made by the U. S. Commissioner of Education to institutions that submit applications for funding consistent with the statewide plan. There is no provision for grants to states or state agencies for these purposes.

Part B of Title X authorizes funds for five types of activities related to occupational education programs--establishment of administrative arrangements under Section 1055, planning grants under Section 1056, program grants under Section 1057, technical assistance under Section 1059 (a), and other grants and contracts under Section 1059 (b). The purpose in general is to promote and encourage occupational education.

Briefly, Section 1055 calls for establishment or designation of a state agency that will have sole responsibility for fiscal management and administration of program developments in accordance with the plan to be developed under Section 1056. However, the agency must provide certain assurances to the Commissioner about responsibilities of the State Advisory Council on Vocational Education and provisions for appeal by institutions or local administrative agencies.

Section 1056 authorizes planning grants, upon application by Section 1202 commissions, for two purposes: (1) to strengthen the State Advisory Council on Vocational Education so it can effectively carry out the additional responsibilities imposed by Title X, Part B, and (2) to enable the Section 1202 commission to initiate and conduct a comprehensive program of planning for occupational education. This planning in turn must meet several requirements and must involve the active participation of persons representing numerous state agencies, institutions, and occupational groups--all listed in Section 1056.

Section 1057 authorizes program grants, upon application by Section 1055 agencies, for several specific purposes related to the development of occupational education programs if the state has met several specific requirements. One of these calls for assurance from the Section 1202 commission that planning requirements of Section 1056 have been met. Another calls for assurance from the Section 1055 agency that the State Advisory Council on Vocational Education has had a reasonable opportunity to review and make recommendations about the design of the programs for which grants have been made.

Now all this may sound complicated, which it is, but these provisions in Parts A and B of Title X are very important in understanding the concerns of community college people on the one hand and vocational education people on the other. Rightly or wrongly in terms of congressional intent or funding realities, many of these people view the establishment of Section 1202 commissions with Parts A and B in mind. They see three areas of responsibility for these commissions and tend to view the first two as being relatively more important.

Furthermore, the wording of Section 1202 by itself has led many people, particularly those in vocational education, to expect a new agency that would serve as the state commission and include members representative of their interests. To some people, the words "representative of" mean "acceptable to" state or institutional officials responsible for each type of institution mentioned in the law.

The next diagram (Exhibit 4) reflects these expectations. It shows a state which has a state board of education (SBE) that also serves as the state board for vocational education (SBVE); it has a new agency created as the state postsecondary education commission (SPEC) under Section 1202; and it has a coordinating agency for all public institutions of higher education (CAHE). This corresponds to what has happened in several states.

The same diagram can also be used for a state that has augmented an existing agency to meet the requirements of Section 1202, if the resulting state commission is independent of that agency. If it is not, then the commission will probably be viewed as an advisory body.

The next diagram (Exhibit 5) shows a state which has designated its coordinating agency for higher education (CAHE) as the state postsecondary education commission (SPEC). In states where this has happened, the main concern of people who represent institutions outside established areas of responsibility is the matter of representation. Concerns have been expressed in recent months by state and national officials who represent not only the vocational education community but also private nonprofit and proprietary institutions. Some of these people are reluctant to accept the notion that members of an agency designated for one set of purposes can be viewed as meeting the requirements for another set of purposes.

The next diagram (Exhibit 6) shows what some states in this category have done to improve representation. As you can see, they have established a state advisory council for postsecondary education (SACPE) that includes the kinds of representation indicated by the wording of Section 1202. This would not have been acceptable under the guidelines developed by the U. S. Office of Education. However, as the diagram reveals, it is consistent with what has been done throughout the nation under Vocational Education Amendments of 1968.

That legislation does not require representation of particular institutions or groups on the agency responsible for planning and administration of vocational education programs, meaning the state board for vocational education (SBVE). The only requirement is that it be the "sole state agency" responsible for those activities. Representation

Exhibit 4

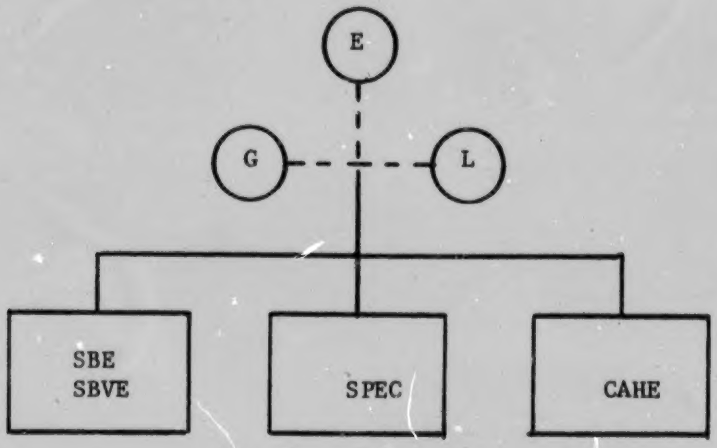
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Exhibit 5

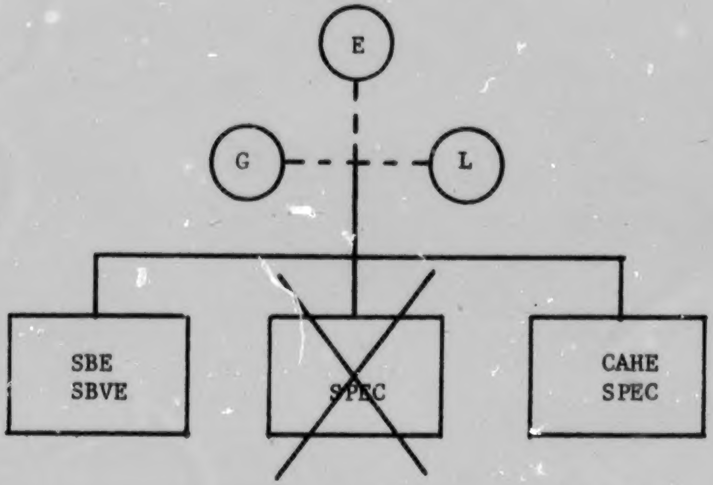
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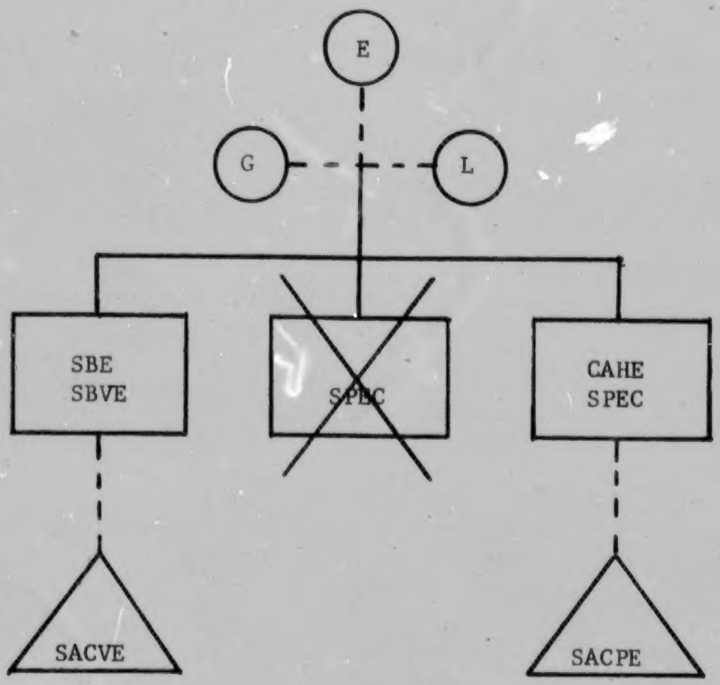
Exhibit 6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SPEC
SACVE
SACPE

is obtained by means of a state advisory council on vocational education (SACVE) that reports through the state board for vocational education to the U. S. Commissioner of Education and the National Advisory Council on Vocational Education.

My hope is that these diagrams can be helpful in understanding some of the concerns expressed during the past year about the establishment of Section 1202 state commissions. What they do not indicate, however, are the requirements and possibilities inherent in the Comprehensive Employment and Training Act of 1973, or Public Law 93-203. Given the nature of appropriations under that legislation to date, it deserves at least some attention at this time and more attention in the future.

Manpower Planning

The Comprehensive Employment and Training Act, or CETA for short, was enacted on December 28, 1973. It has been referred to as the culmination of almost five years of work by the Administration and Congress to obtain reform in manpower programs. It can also be described as a decentralized and decategorized approach to manpower development.

Briefly, introductory sections in the act provide a statement of purpose, transitional provisions related to supporting programs, and other provisions related to authorization of appropriations. It is stated that the purpose of the act is "to provide job training and employment opportunities for economically disadvantaged, unemployed and underemployed persons, and to ensure that training and other services lead to maximum employment opportunities and enhance self-sufficiency by establishing a flexible and decentralized system of Federal, State, and local programs." Supporting programs are referred to as those in effect under provisions of the Manpower Development and Training Act of 1962, Title I of the Economic Opportunity Act of 1964, and the Emergency Employment Act of 1971. Appropriations are authorized in "such sums as may be necessary" for the fiscal year ending June 30, 1974, and each of three succeeding years.

The remainder of the act is divided into six titles. Title I establishes a program of financial assistance to state and local units of government for comprehensive manpower services. Title II supports public employment programs in areas of substantial unemployment. Title III outlines special federal responsibilities related to special target groups on the one hand and research, development, and evaluation of programs on the other. Title IV contains provisions related to the Job Corps previously included in the Economic Opportunity Act. Title V establishes a National Commission for Manpower Policy. Title VI contains general provisions applicable to all programs, including definition of terms, legal authority for rules, regulations, and guidelines, and so forth.

The two most important provisions for our purposes here are Title I and Title V. Title I is important for several reasons. First, the description of comprehensive manpower services to be offered throughout the nation includes programs and activities that are either offered by or could be offered by postsecondary institutions.

Second, substantial amounts of money are involved. Allocations under Title I for the fiscal year 1975 are approximately $1.4 billion.

Third, most of this money flows directly to "prime sponsors" within the states. A prime sponsor can be any unit of general local government which has a population of 100,000 or more, any combination of units that includes at least one unit with a population of 100,000 or more, any unit or combination of units without regard to population where exceptional circumstances justify designation, any one of a limited number of existing concentrated employment program grantees serving rural areas having a high level of unemployment, or a state. A state, however, can only serve as the prime sponsor for areas not included in boundaries defined by other prime sponsors.

Fourth, each prime sponsor is required to establish a planning council consisting of persons who are representative of the client community and designated organizations, institutions, agencies, and economic groups. The planning council is responsible for final decisions related to goals, policies, procedures, and program plans. It is also required to submit a comprehensive manpower plan for funding during any fiscal year.

Fifth, special provisions related to state prime sponsors call for a state comprehensive manpower plan and a State Manpower Services Council. The plan, among other things, must provide for cooperation and participation of all state agencies providing manpower and manpower-related services to prime sponsors. The Council must be appointed by the Governor and include representatives of designated organizations, agencies, and economic groups. The Council must also review plans of prime sponsors and state agencies providing services to these sponsors, monitor operation of programs, and make an annual report to the Governor.

Title V is important because the National Commission for Manpower Plicy will undoubtedly provide a focal point for discussion of major issues related to manpower planning and development during the months ahead.

The Commission includes the Secretary of Labor, the Secretary of HEW, the Secretary of Defense, the Secretary of Commerce, the Secretary of Agriculture, the Administrator of Veterans Affairs, and eleven members broadly representative of labor, industry, commerce, education, officials involved with manpower programs, persons served by manpower programs, and the general public. Its functions include identification of manpower goals and needs, assessment of programs, and submission of annual reports to the President and the Congress.

As you may know, members of the Commission have been appointed and have held at least two meetings. The Chairman is Eli Ginzberg, professor of economics at Columbia University. The executive director is Robert T. Hall, former special assistant to the Assistant Secretary of Labor.

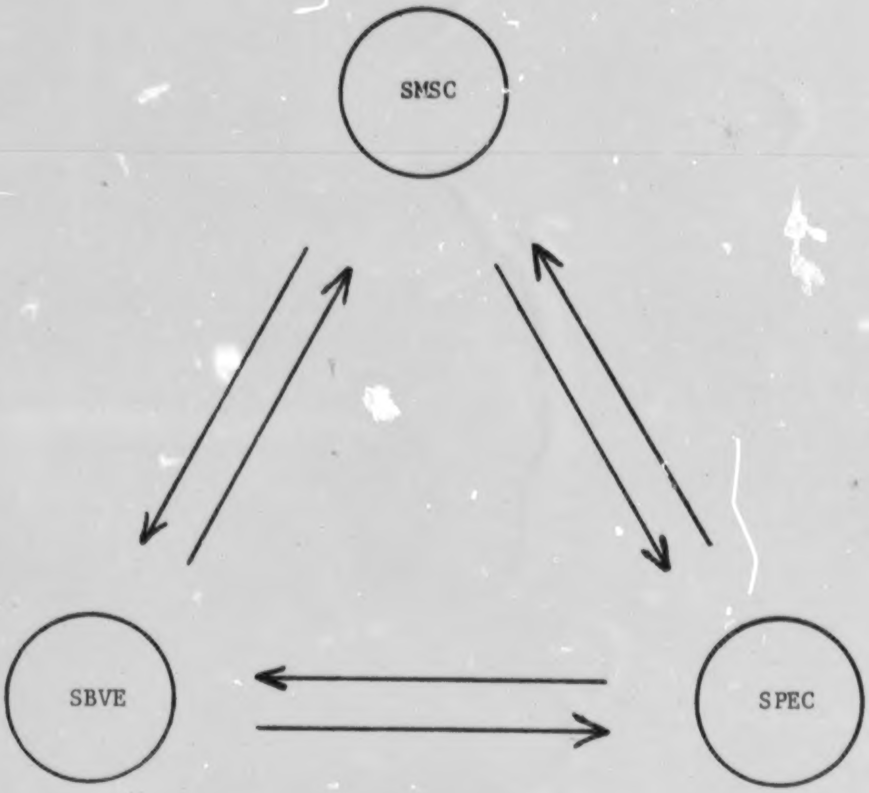
Prospects for the Future

What does all of this mean for the future of Section 1202 state commissions? Let me answer that with another diagram and some concluding observations.

The diagram (Exhibit 7) shows the situation in most states at this time. There is one agency with statewide responsibilities related to vocational education programs (SBVE); there is another agency with statewide responsibilities related to postsecondary institutions or programs (SPEC); and there is a third agency with statewide responsibilities related to manpower programs (SMSC). The wording of vocational education legislation on the one hand and manpower legislation on the other requires communication and cooperation between two of these agencies--the state board for vocational education and the state manpower services council. The wording of Section 1202, Section 1203, and Title X combined provides opportunities for communication and cooperation between the state postsecondary education commission and each of the others, opportunities that are not likely to materialize unless someone takes the initiative. Funding patterns involving all three agencies suggest that state postsecondary education commissions in most states, if not all of them, have much to gain and not much to lose by capitalizing on these opportunities.

Beyond these new possibilities, any attempt to predict what the future holds for Section 1202 state commissions is hazardous at best. Some of them are still getting underway,

Exhibit 7


SMSC
SBVE
SPEC

while others have not had a chance to meet. Furthermore, there are many people, including the President, who do not favor continued funding by the federal government.

Yet questions are being asked. Should they be continued? What role should they play? How can they be improved? These are all important questions in view of the fact that existing legislation expires at the end of the current fiscal year.

Examination of proposed activities and related developments during the last few months reveals some strengths and weaknesses of Section 1202 state commissions that are worth considering at this time. One of the strengths lies in the concept of comprehensive statewide planning for all postsecondary institutions--public, private nonprofit, and proprietary. Recent trends throughout the nation make this a necessity in practically every state if more effective and efficient use of available resources is desired. Shifting enrollments, financial distress, and numerous other factors are creating a situation where unrestricted competition and needless duplication of programs can threaten the future of the postsecondary enterprise. Now, as never before, there is a need for comprehensive statewide planning that takes into consideration the interests and concerns of all postsecondary institutions.

Another strength stems from the authority Section 1202 state commissions have received from their respective states. At the very least, this can be viewed as an opportunity to deal with some of the major issues confronting postsecondary education today. With adequate funds from either state or federal sources, these commissions can play an important role in helping institutions meet the educational needs of adults.

Still another strength is reflected in the number of states that have established these commissions. This means that a wide variety of approaches to comprehensive statewide planning can be attempted. It also means that people involved in these activities can learn from each other. This is important because groups of institutions that have rarely communicated with each other in the past will need to go beyond communication to cooperation and coordination. Furthermore, they will need to do this in what has been described as a period of retrenchment, a situation that compounds difficulties and heightens tension. Getting people involved in meaningful planning activities will not be easy.

One of the weaknesses of Section 1202 state commissions can be traced to limited funds for 1974-75. Each state received a maximum of $26,105, which is not enough to provide adequate staff support and related services to an agency responsible for comprehensive statewide planning that involves all types of postsecondary institutions. As a result, staff support has been provided in many states by people with other responsibilities, limited experience, or both. For new commissions, that undoubtedly has caused problems in trying to reconcile expectations and accomplishments. For existing agencies, it may have resulted in lower priorities for Section 1203 activities than they deserve.

Another weakness closely related to this stems from the lack of funding for Title X. If appropriations had been made for programs authorized in Parts A and B, each state commission would have been required to take specific steps leading to cooperative relationships with representatives of community colleges on the one hand and occupational education on the other. This might have eased some of the concerns of people in several states who are reluctant to support the commissions under present circumstances.

A third weakness that also results from lack of funds for Title X can be seen in proposed activities for 1974-75. Many of these activities are limited in scope, which is understandable given the wording of Section 1203. However, it may mean that members of some commissions, particularly new commissions or augmented commissions, will not become significantly involved in the total planning process, particularly discussion of major issues pertinent to a focus on postsecondary education as a whole. If Parts A and B of Title X had been funded, involvement of commission members in a wider range of planning activities would have been required. In other words, it can be argued that the immediate need is to involve members of state commissions in serious discussion of goals and objectives, program developments, methods of financing, and other issues affecting all postsecondary institutions. This may lead to a need for inventories and factual information of various kinds, but that need is relatively unimportant in terms of meaningful involvement.

A fourth weakness centers around uncertainties about the nature of representation required by the wording of Section 1202. What does the term "representative of" really mean in relation to the types of institutions mentioned in the law? Does it simply mean someone who has had experience as a student, faculty member, administrative officer, or supporter of an institution? Does it mean someone who has been given other responsibilities related to one or more institutions? Or does it mean someone who is acceptable to a particular group of institutions and can be expected to present and defend the interests of that group? Some of the people who are concerned about developments related to Section 1202 state commissions blame the absence of federal guidelines for what they consider to be inadequate representation. Others view it as a positive factor allowing states needed flexibility in responding to federal requirements. Better understanding of views in both groups is needed.

A fifth weakness stems from the apparent lack of communication in some states between executive officers of Section 1202 state commissions and other state officials responsible for vocational education and manpower planning. Given the nature of responsibilities assigned to these commissions in Section 1203 and Title X, it would seem desirable for executive officers to take the initiative in arranging appointments or meetings to discuss topics of mutual concern. Particularly important in this regard is communication with state directors of vocational education, executive directors of state advisory councils on vocational education, and executive officers of state manpower services councils. Federal legislation has given each of these groups certain responsibilities related to comprehensive statewide planning that involves or affects postsecondary institutions. Better communication is an important first step toward cooperative relationships and better use of resources.

To sum it all up, Section 1202 state commissions have been established in practically all states and every eligible territory; they are engaged in some promising activities that can only lead to better planning at the state level; they need to consider carefully the types of concerns being expressed by representatives of various segments of postsecondary education in their respective states; and they have some new opportunities that could give them added strength during the coming year. Thank you.

The schedule allowed for a brief period of question and answer following Dr. McKinney's address. These are reproduced here in a slightly edited form - ed.

Question: "Part A of Title X requires a preparation of a specific plan and submission to the Commissioner for approval. Title B has no such requirement. It simply requires that the Commission satisfies itself that the planning has been done. Can you comment on the difference between these two?"

Dr. McKinney: "I don't see a fundamental difference between those two. Title B does require a comprehensive statewide plan for occupational education. It seems to me that the language of both parts has the same weakness. Planning is a process, a process that involves people. If you do the kinds of planning that have been done in voc-ed in the past, you are likely to end up with the same kinds of criticism, justified or unjustified, that voc-ed is getting from GAO right now. Beyond that, the National Advisory Council on Vocational Education has said openly and in print that basically the planning done under the Vocational Education Amendments of 1968 is merely compliance, planning for compliance with federal requirements. That's the position of the National Advisory Council on Vocational Education; it's the position that has been taken in the recent report of the GAO. Now, many of us take the position that planning is a process and it's not so much those documents that you turn out but what happens around that table as you involve people in discussion of issues, alternatives, and all the rest. So it seems to me the wording of both Part A and Part B has limitations. Also, the wording in Section 1203 in my judgment is misleading. It talks about inventories and studies including planning. Now, to me comprehensive statewide planning is something much bigger that may include inventories and studies at some appropriate time. And my suspicion is that the wording of Section 1203 is misleading some people in terms of what ought to be done at the state level."

Question: "You mentioned that there's a long way to go and not much time; it's obvious that you have been spending a lot of your time in the past year talking with the 1202 people on the Federal side. Have you had any opportunity to take the pulse of traditional higher education sector, the ACE, the land-grant people, the state college group, the community college group, to see whether or not their attitude toward 1202 has altered in any way?"

Dr. McKinney: "I literally called on every association in Washington that seemed to have any relationship to postsecondary education, so I touched all the bases at least three or four times. In addition to that I guess I accepted almost every speaking engagement that gave me a chance to get out and meet with representatives of the different types of institutions. Now, to be sure the people with whom I met in those situations tended to represent those state agencies but I have indeed within the limits of time and resources taken advantage of every opportunity that I could and what I was reporting there in some rather direct wording is what I heard time and time again."

Question: "Is the 1.4 billion dollar figure an authorized amount for the Comprehensive Employment and Training Act?"

Dr. McKinney: "That's an appropriated figure for the current year. Now the actual total for the law itself for fiscal 1975, and I don't pretend to be an authority on CETA, is 2.4 billion dollars. I skipped over Title II with some reluctance, because my hunch is that Title II has more significance for postsecondary institutions than I may have indicated."

Question: "I have sensed an attitude change during the last two or three years on the part of the higher education establishment represented by ACE, AASCU and the rest, particularly the land-grant association. I think the one major change in their attitude is consistent with the type of planning related to the 1202 commissions. Essentially, it is that some effective state wide plan that does include all sectors of postsecondary education is at least inevitable if not desirable."

Dr. McKinney: "I would agree but let me clarify my response. The effort being made by AACJC, whether you agree with it or not, is a major challenge to the sole state agency concept. The challenges reflect some very fundamental changes in the totality of education, not postsecondary education between 1968 and the present date. And regardless of where you stand on that issue, the plain and simple fact is that AACJC is challenging the sole state agency concept and has built the Section 1202 state commissions into that proposed model, presumably without your permission. And NASULGC and all the rest are moving along, and that's why I said you don't have much time as I perceive the situation. All of these things are in the mill and the big decisions are likely to be made within 9 months to a year, and you'll either have an important part in the future or perhaps no part at all. So, if you're not familiar, for example, with the GAO report on voc-ed, (and I'm not implying I subscribe to it), it's just one of those things that a person needs to be familiar with right now to understand what's going on."

Following is the paper presented by Dr. Warren G. Hill, Project Director, Inservice Education Program, Education Commission of the States.

THE ALLIGATOR SYNDROME

When I was asked to come here and talk about the problems facing 1202 commissions, I thought immediately about the adage concerning the dilemma of getting work done when you are under attack or the threat of imminent attack. You have all heard it: When you are up to your ass in alligators, it's hard to remember you are supposed to be draining the swamp. Hence the title.

I am not a 1202 commission director. I was involved when the legislation was being considered and I was thoroughly involved when Joe Cosand and John Phillips put together that magnificent effort of bringing in representatives of every concerned element when the guidelines were being developed. Section 1202 represents, to me, a great good--a level and degree of coordination long overdue and much to be desired. Like any good concept, it will survive only if dedicated people work to make it succeed. I believe it will. In the meantime, those dedicated people will have to deal with a variety, and a surfeit, of alligators before the swamp allows dry-footed passage.

My alligators have been divided by their origins. If you have been in the business more than a week, you will recognize most of them. Let me trot them out for inspection. (And let's be clear that this is just a partial list.)

The Institutional Alligators

1. Suspicion and resentment.

These are hard designations. There are people on college campuses who are supportive of statewide planning, there are some who are unaware of your existence and there are a great many who view your existence with great concern. They are convinced that you are an additional arm of the bureaucracy that has always frustrated their lives. They are convinced that you are not for them and are, therefore, against them. They feel that you will take money away from them--or recommend less than they know they have to have, or that you will deny their aspirations--for new (and needed!) programs, for a higher level of quality, for considerably improved salary schedules or for a heightened level of autonomy (whatever that means.) As the economy worsens, as enrollments stablize or decrease, as unit support fails to keep up with inflation, this alligator will grow longer and stronger.

2. Fear of partiality.

This alligator usually stays pretty well out of sight. Recently, however, he has been seen with considerably more frequency. The fear he represents reflects schisms that are long-standing. What are they? The advocates of vocational education (occupational, career--choose your own adjective) fear that you will not understand the importance of their area and that you will favor the "academic" or "liberal arts" programs. And vice versa. There will be representatives of the public higher education system who fear that you--and the members of your commission--favor the private institutions or even (heaven's above) the proprietary schools! There will be representatives of 2-year colleges who fear that the university and senior colleges will be favored--at a time when their institutions are clearly the hope for the future. On the other side of the coin, there will be representatives of the university and the senior colleges that fear a vast-shifting of resources away from their institutions of long-standing and demonstrated competence to fly-by-night, Johnny-come-lately institutions not worthy of the support they receive.

3. The "leave our uniqueness and way of doing business alone."

I have two quotations that, I believe, further reflect institutional concerns about coordination. The first, after noting the emergence of 1202 commission and other agencies that might have a role in reviewing research proposals, expresses concern about other people getting into the act:

> The cumulative effect of these complicated new arrangements poses a serious threat to the sound and successful 'system of federal grants and contracts by which universities and industrial corporations were brought into a relation of dependence on federal policy and federal funds, but, with a high degree of independence with respect to their internal affairs' that evolved after World War II. This has brought problems to researchers, administrators, and universities in four areas. First, is the matter of review. For example, in a field such as crime prevention, faculties of universities in some states who wish to conduct studies in local areas must now explain their objectives to review boards that can be expected to ask about the methods to be used and the results to be expected. These boards, composed of

> informed lay people, want to know about the significance of a project for local use, methods to be used in doing the study, and the practical applications of the possible findings for the local community. This means that researchers must appear, often in the presence of the press, before review groups of local citizens who are unacquainted with the language of science and technology to respond to questions and criticisms and to defend the objectives of their projects. Consequently, faculty members must be prepared to talk to the manager of the local hardware store regarding the value of developing a computer model to simulate the local court review process. Or, they must be prepared to persuade a review board that the money they need is more important than funds for a second community halfway house for released prisoners. These are new requirements to say the least.

(Spreisterbach, Hoppin and McCrone. University Research and the New Federalism Science. 25 October 1974, Vol. 186, page 325.)

The second quotation describes three types of planners at the institutional level and then identifies the single one that has value. I believe the insights gained from this discourse will be helpful to those who must coordinate institutional plans. The first planner is a full time master planner who "writes the plan" and "the plan is his." The second involves others but really "nurtures the development of a planning document." But the third one does it right!

> The third stereotype planner is a facilitator and technical advisor, a resource person. He has no authority. His planning role is defined by others coming to him. Others determine the objective of their planning and ask for advice on how their plans might be implemented. In this model the planner is an extremely valuable person who increases the productivity and successfulness of others as they plan.
>
> My premise is that the third stereotype planner is the only one acceptable within the academic community of a university. The tradition of faculty senates and the reality of the wide distribution of highly specialized expertise mean that except in the most authoritarian universities, another type of planner will

> be drafting documents that are never adopted. The actions of virtually all universities reflect a strong conviction that planning should be dominated by similarly trained individuals in department-like groups and that the administration should facilitate rather than determine plans.
>
> Universities should be dominated by faculty and students. Administrative planning by grand scheme is ineffective and dysfunctional except in those colleges and universities intending radical change. For educational and political reasons, planning must be incremental, decentralized, and a primary responsibility of each professor.

(Brown, David G. The Supreme Role of Faculty in Planning: Why and How MORE FOR LESS; Academic Planning with faculty and without new Dollars. The society for College and University Planning (and) ETS College and University Programs. April, 1974.)

Watch these alligators. They feed on rumor and thrive on misinterpretation of your activities. They are no longer on the endangered species list.

The Legislative Alligators

4. Concern with cost.

If there is one universal among legislatures these days, it is concern about money. The degree of concern, interestingly enough, doesn't seem to be directly related to the state's financial condition. States with surpluses don't seem to act much differently than those with deficits. The stage is well set for any spokesman who wishes to sound off on high costs, needless duplication, unnecessary expenditures, out-of-state travel by state employees, the futility of trying to work with big-spending bureaucrats--and the beat goes on! In such a situation, there is no way that 1202 commissions (or any other statewide agency for higher education) can escape the onslaught. Higher Education is seen as being one of the states' most expensive activities and it is obvious to anyone that (1) there's a lot of fat in our budgets; (2) a lot of unnecessary courses; (3) faculty loads are too light--and salaries too high; (4) the cost of attendance is unreasonable; (5) the students ought to pay more of the bill.

When you add to this the concept that the students are learning nothing, can't get jobs and are going to hell in a handbasket (and that the faculty isn't doing anything about it) you have some very persistent alligators to deal with. I'm not, by the way, stating that we are without blame; I'm just noting that we're a lovely target and that we're going to remain that way for some time to come.

5. Disappointment.

There are legislators who rapidly become disenchanted with central agencies they may have helped to create. (I guess I'd say particularly if they have helped to create them.)

We may have a stabilized or a declining enrollment but there are still colleges and universities to which it is difficult to gain admission. Also law schools. And particularly medical, dental and veterinary schools. Legislators are disappointed when you can't (or won't, as they see it) press a button to get a constituent's son or daughter admitted. They also have trouble understanding why all credits can't be transferred, teaching certificates issued, programs initiated in certain colleges or (wonder of all wonders!) a college created in a place of their choosing.

I am not describing the activities or concerns of all legislators. But I am describing some--and their disappointment can lead to opposition. Just tickling this kind of alligator's belly won't make it relax and go to sleep!

The Other State Agency Alligators

6. Competition.

While we note with pride the growth of statewide governing and coordinating boards for higher education and the emergence of 1202 commissions, we sometimes forget that other central state agencies have also been doing very well in recent years, thank you. The staffs of budget officers have expanded remarkedly--including the number of "analysts" available. Legislatures have adopted the congressional model and have staffed their major committees. Legislative Research offices have been established. Governors' offices have aides for education.

As these men and women take up their duties, they are seldom convinced that there is little for them to do, inasmuch as a fine 1202 commission exists and does all the necessary research and provides all the necessary information. Some of these individuals have as excellent academic credentials as members of your own staff. Some of them come to work under a mandate to "make some sense out of that mess in higher education." Lyman Glenny's study of budgeting procedures includes extended contact with people in these positions.

Many of them have little regard for our agencies; many see no role for us that they couldn't perform--better, and at less cost.

7. Partisanship.

We describe ourselves as objective and as "standing on the razor's edge," serving as the interface between the institutions and their boards on the one hand and the Governor and the legislature on the other. The people in the other state agencies I have described do not believe this. They see us as spokesmen for the system, advocates for greater spending, partisans who will not, for example, dig out the hard-to-get information or take on the tough issues of how to "get around" tenure or "get quotas" on promotions.

These alligators love us not. They drink at the same spring that we do and they have been known to get there before we do--and muddy the water.

The Federal Alligators

8. Other-oriented.

These are parlous days for congressmen. There are a great many serious issues that command their attention. Let me quote from my notes, taken at the ECS Steering Committee meeting in March in Arlington. A congressional aide is speaking:

> There is no one left on the hill who really fought through the whole sequence of educational bills. Congressmen hate to go home. What do you tell the people when 15% are unemployed?
>
> Maybe because of the economic situation there is more tension, less humor, no mention of education by the leadership--no priority. Leaders are concerned with the 80-90 billion projected deficit. It is in this climate that the higher education debate will occur.
>
> The congress isn't asking us to take a leadership role.

9. Uneasiness.

That planning is still fragmented. The ECS study that Dr. Millard and others will, or have, discussed at this conference notes that:

> One of the permissive, but not mandatory, features of Section 1202 was the consolidation of state agencies set up under other federal requirements of the Higher Education Act of 1965 into the state commissions. The legislative intent was undoubtedly to enable states to reduce the number of state agencies responsible for federal programs and to incorporate the work and planning responsibilities to these agencies into the statewide planning effort.

(McGuinness, McKinney, Millard. The Changing Map of Postsecondary Education. State Postsecondary Education Commission (1202): Their origin, Development and Current Status. Report No. 66, The Education Commission of the States, April, 1975.)

The study goes on to analyze why more state agencies didn't take advantage of the opportunity to consolidate. While there are many new faces on the hill, there are still several around who wonder why the intent they labored over hasn't generated significant compliance. Another of my notes from Arlington, still with a congressional aide speaking, reads:

> If we had said, when we passed the bill, what we wanted these to be in 5 years, or seven, the bill would not have passed. We were looking for an agency to determine what would happen for higher education at the state level.

These two lovely amphibians may live in or on the banks of the Potomac but they can create a situation that affects all of us, from coast to coast.

The Public Alligator

Sorry, there's no alligator. By and large, the public doesn't know that 1202 commissions exist. They don't know about governing or coordinating boards either. (Like the submarine service, you--apparently--run silent and run deep!)

The public tends to be very much aware of where the state universities are and some of the colleges. They need to know more about what the state has and what it supports and what it is trying to do. 1202 commissions need to do more than any of us have done in the past to contribute to this consciousness-raising activity. The people who pay the bills should know what they are paying their money for, and what they're getting in return.

So what do we do about all this? Do we abandon the swamp, or do we neutralize some alligators?

My suggestions are brief and based on the firm conviction that 1202 commissions are probably one of the most important developments in education in my time. We have the model for and the means of getting the interested parties together, for extending opportunity and for obtaining a maximum return on the investment being made.

How does the "neutralizing" happen? (And you notice I have not suggested that any one of the alligators could be "done away with." They're here to stay for some time and "neutralizing" isn't a bad description of what we have to do.)

1. The institutional alligators will seek other prey if we: employ a small, high level staff whose competency can't be questioned. You can't have a rabbit coordinating a pride of lions. Pay scales should be comparable to those paid in your state university. Preparation and experience should be unquestionable; keep everything on top of the table (no surprises); keep everyone involved, making clear that whatever is done (master plans, studies, recommendations, budget priorities) has to be of the highest quality--for their sakes as much as ours. And the institutions must understand that their best representatives are needed, to get that quality of outcome; get prior agreement on what information is to be collected, what studies undertaken; stay objective; stay off campuses unless invited (to build trust relationships. We want no one to feel we are "spying" on them).

2. The legislative alligator will always be out there circling around us. There is a ring of fire we can build to keep him at bay. He won't like it, but he will respect us in the process. We stay objective. We do not change our recommendations for political reasons. We do not try to influence admissions (we do find out the status of the application). We don't recommend colleges that are not needed. We do respond to every request within 24 hours. We do a thoroughly professional job.

3. The other state agency Alligators: As a farm boy I learned that when you are behind a horse and it starts to kick, jump toward it, not away. By so doing, you avoid the hoofs at their maximum point of impact and are struck instead by the legs--with a lot less damage.

Stay close to these guys. Give them the information you have--and always have more of it than they do. When you provide it, send an explanation with it. Volunteer to do studies for them--and involve the institutions. These are busy people. They will come to realize your value and to support your existence.

4. The Federal Alligators: these may be the most docile alligators of all. The "feds" need to know that the states are in the planning business. They were in it before 1202's were devised. They moved with the 1202's because planning for postsecondary education was, to quote Dr. Millard, an idea whose time had come. The $26,000 helped, but it wasn't the main reason for the rush. The "feds" also need to know that the 1202 commission will not only be of great value to the states but they will also point out the federal responsibility for support for certain segments of postsecondary education: graduate education, research, student financial assistance and, if you will, encouragement for state planning.

A swamp can be a great place to live. Ask the ecologists. All of the good things start there, all of the beginnings, all of the small things that stand at one end of the chain of existence. The fact that there are some alligators in the swamp should concern us but should not deter us from getting on with our work. The ecologist would not have us drain the swamp, but they would applaud our efforts to make it a better functioning place for all levels of life to exist and prosper.

The comparison is not perfect, but 1202 commissions have the opportunity to help all forms of postsecondary education to improve, to prosper, and to serve. Let's go with that until a better objective appears.

Following is the paper presented by Ben Lawrence, Director, National Center for Higher Education Management Systems.

1202 COMMISSIONS: DISSOLUTION OR SURVIVAL

1202 Commissions were born in controversy. They are controversial still. If they survive, probably they will remain in controversy. I speak to you this morning with every wish to be helpfully affirmative, not destructively negative. But I ask your leave to lay out the issues in distinctly candid terms, on the assumption that you will find it more useful for me to be frank and explicit than guarded and ambiguous.

The first part of my remarks might be entitled: "Resolved: That 1202 Commissions be dissolved." The second part might well be called: "A Design for a Survival Kit for 1202 Commissions." Then I will try to resolve the seeming paradox by making some observations to which I would give this title: "A Needed New Concept in Cooperative Planning for Postsecondary Education by State and Federal Governments."

I am aware, of course, that I do not automatically dispel skepticism with this quick indication of my belief that the concept of the 1202 Commission has valuable potential. Indeed, there is plenty of reason for trenchant skepticism. A strong case can be made for dissolution of the commissions.

I have proposed to speak bluntly, and so will begin with an invidious analogy: in some states, the 1202 Commission is rather like a new boy on the block who is doubly resented because he has a wealthy and indulgent uncle. The commission is perceived as a potential threat to existing planning agencies. These established agencies may not be ready to call the new boy out on the sidewalk for a confrontation. But they do not welcome him either.

In other states, the 1202 commission has been tucked safely away in a corner of some existing planning agency. Thus hemmed in and obscured, the commission supposedly will find it difficult to function as an instrument by which the federal government might distort the state's planning process.

To some extent, both attitudes are engendered by the survival instinct--which we very well know to be ingrained in organizations as well as individuals. But the opposition to 1202 Commissions is more broadly based than that, and sometimes better justified.

The long, steady increase in the size and scope of federal activities and influence has meant, by and large, a steady erosion of state authority. Moreover, specific federal legislative provisions as well as the coercive use of federal dollars have combined to reduce the states' effective control over the allocation of their own resources. This in turn has reduced the ability of the individual states to meet the special needs of their citizens--needs identified by those citizens' own elected representatives, sitting in state legislatures.

The creation of the 1202 Commissions appears to be the first step in a federal attempt to standardize the organizational processes and jurisdictional arrangements by which state planning of postsecondary education takes place. This intrusion into affairs heretofore left to the discretion of the individual states is widely viewed as a step toward homogenized mediocrity. Many well-informed people in postsecondary education believe that diversity and quality of programs and services in postsecondary education can be maintained only if we preserve an equally diversified, decentralized set of organizational structures for planning. They want structures specifically designed to meet unique state needs.

External critics notwithstanding, many states feel that their postsecondary education planning is just about as effective as their limited resources will allow. State coordinating agencies, various statewide systems of institutions, individual institutions, and the executive and legislative branches of government--all feel that they are contributing to that planning, to good effect. They see no reason for Washington to assume a role, no need for federally-initiated changes. They are sure that these agencies were brought into being to usurp planning responsibility and authority that is now being well discharged. The 1202 Commission is the straw that may break the back of an already complex state planning structure. And the federal government's intention to really be helpful must be suspect when it provides only three million dollars--the price of a modest classroom building--to be spread thinly over the fifty states to maintain the commissions.

The most bitter argument against 1202 Commissions that I have heard envisions an ultimate federal takeover of postsecondary education planning, following the pattern of our military intervention in Viet Nam. This manner of alarmist sees first the arrival in the state of federal advisors, who use their influence in Washington to reward cooperative local interest groups and state agencies. Then the tradeoffs are pyramided, until the federal representatives have enough influence to bring to power what amounts to a puppet regime controlling the state-level postsecondary education planning apparatus. If that does not suffice to achieve the monolithic federal objectives, the puppet planning regime declares an emergency and calls for more federal advisors and resources. In due time, federal troops arrive in full force. Now I do not imagine for a moment that the federal government's motives regarding postsecondary education are in any way comparable to those which precipitated our ill-fated involvement in Viet Nam. But the process for establishing federal domination over planning in postsecondary education could well be very similar.

A more pragmatic argument for the dissolution of the 1202 Commissions is simply that the Congress has failed to fund Parts A and B of Title X of the Education Amendments of 1972. A federal influence in state-level planning might be justified as necessary to ensure that the more than one billion dollars in federal support authorized in Title X would be used effectively in pursuit of national objectives. But since there has been no such federal investment, there is no federal interest for the 1202 Commissions to protect. So why perpetuate the commissions? This logic apparently appeals to the White House: the commissions are zero-funded in the administration budget for fiscal '76.

These attitudes toward 1202 Commissions pose a distinct threat to their continued existence. If I am to remain candid, I must admit that I am not overly concerned about the survival of the commissions per se. But I am seriously concerned, as you are, about the problems that the commissions were devised to address. Perhaps if we consider what would be required for the commissions to earn survival, we can get a clearer focus on these problems. So I will enumerate what I believe should be the components of a survival kit for 1202 Commissions.

First, a case must be developed for federal participation in state-level planning for postsecondary education. I think such a case has been implied, but not explicitly articulated. In my judgment, the case should not be built around specific federal programs, however. Rather it should be grounded in national objectives for postsecondary education, and in the fact that federal initiatives can have decisive impact on programs in the respective states. I will not go into detail, but let me offer just two illustrations.

From time to time, Congress has enacted legislation intended to promote equal access to postsecondary education. A ready example is furnished by the 1972 amendment to Part A of Title X, which aims to improve access to community colleges. Such legislation forces the inference that it is a continuing congressional intent, and thus a national objective, to bring about more equal access. In talking to members of Congress who help draft such legislation, one senses an abiding concern that equality of access varies from state to state. And there is considerable evidence to show that a person born in the State of X has a much better chance of going to college than a person born in the State of Y. By not naming the actual states, I let frankness give way to discretion. But the inequities are real enough.

From the national perspective, all Americans, regardless of birthplace, should be provided equal access to postsecondary education. From the state perspective, however, the major concern is that all citizens of that state have equal access. Programs to achieve the state objective are not necessarily compatible with federal programs to accomplish the national objective. If they collide, the state program is most likely to be distorted or superseded, though both will suffer. But mutual planning, conducted at the state level with federal participation, could promote the simultaneous accomplishment of both state and national objectives. Without this cooperation to accommodate the varying conditions and needs of the individual states, the imposition of a grant national design is almost certain to frustrate progress at both levels.

By their nature, federal initiatives tend to treat all states alike. But each state is in fact in a different stage of development with regard to federal objectives. The effects of federal initiatives therefore vary from state to state. For example, the effect of the BEOG program is to reward those states in which the costs of education to the student are high. It also provides most benefit to students in high-cost states. Conversely, BEOG penalizes states in which the costs of education to the student are low. The result is that BEOG creates an incentive for low-cost states to increase the cost of education to students, in order to be rewarded by the federal government. On the other hand, empirical evidence shows that veterans education benefit provisions reward states that keep the cost of education to the student relatively low.

It seems to me that a state-level planning effort in which federal representatives participate could be extremely useful in reducing or forestalling inequities of this sort. They are not, after all, brought about by some nefarious design in Washington. Federal initiatives are nearly always well intended.

Now a second requirement for the survival of 1202 Commissions is that they develop a well defined, meaningful mission. At present, the mission of the commissions is described in terms of organizational structures that lead to duplication of effort and specific responsibilities that involve jurisdictional disputes. Is it not possible to develop instead a mission for 1202 Commissions that requires them to voice the federal view of postsecondary education objectives within the established state-level mechanisms? Such a mission would allow the commissions to reinforce and supplement state planning without duplicating effort and without superimposing federally supported state-level planning on the state's efforts. Perhaps the 1202 Commission should provide a forum in which the state and federal views can be reconciled, in the context of each state's unique character and needs. To pursue this line further, is it not possible for the 1202 Commissions to serve as facilitators in the processing and exchange of information needed for planning at both the state and national levels?

If the mission of 1202 Commissions were to be defined along the lines I suggest, jurisdictional disputes and the fears and suspicions that accompany them ought to fade away. Established agencies should come to view the 1202 Commissions as useful resources. I recognize that given such a mission, each commission will have a different set of responsibilities, suited to its state's unique character. But a federal charge could be written that directs the commissions to identify and fill holes in the planning process of their individual states: there need not be a standard set of specific activities for all the Commissions.

A third component of my survival kit of 1202 Commissions would be supplied if the commissions organize interstate cooperative planning efforts. The Education Commission of the States and its affiliated organization, the State Higher Education Executive Officers, are active in this area, and so is NCHEMS. But a great deal remains which 1202 Commissions, particularly in view of their federal linkages, could help do. The commissions might, in fact, spearhead the effort to develop cooperative interstate planning.

Much state-level planning attacks problems common to many if not all states, and the planners have many common information needs. If the 1202 Commissions act collectively to identify common problems and needs, solutions can be pursued without wasteful duplication. The basic work could be parceled out among the commissions or assigned to organizations like ECS and SHEEO, or NCHEMS. It would fall to the individual states to tailor the results of such studies to their own needs. But a substantial savings would result if the spade work were done on a cooperative basis. Let me just mention a few problems that could be addressed with a mutual effort.

> Gauging the impact of federal legislation on each state would, in my view, be better done through a cooperative but single-force effort than by having each state conduct its own analysis.
>
> Similarly, a cooperative, single-force effort would be the best way to shape national data--census information, Bureau of Labor statistics, and such--for use by state planning agencies.
>
> The development of indicators that depict the state of postsecondary education in terms of such factors as cost, benefits, and revenue flow would be more easily accomplished through a cooperative effort.
>
> Acquiring a better understanding of the noncollegiate sector of postsecondary education and developing ways to analyze the latent demand for postsecondary education are two more tasks that seem to me likely to be best accomplished by a collective effort.
>
> State planning for higher education generally has focused on the provision of education services for the sake of education. Postsecondary education has not often been examined as an economic enterprise or as a resource in the solution of other state problems. Collective study in this area should benefit both states and the postsecondary education enterprise.
>
> State agencies know a lot about budgeting, somewhat less about program planning, and virtually nothing about long-term financial planning for postsecondary education. I believe that a cooperative effort to understand the problems involved in long-range financial planning would have a significant payoff for both the states and the federal government.

I am sure that you can augment my list. It is certainly true that whenever a common problem can be attacked cooperatively, more resources will be available in the individual states to interpret and tailor the results and to respond to their implications for the planning process in postsecondary education.

Now I began by attacking federal intervention and the superimposition of new planning structures on existing state structures. Then I urged the need for federal involvement in state-level planning. Neither was intended as a strawman position, and yet I do not believe that I have been inconsistent. I think it is possible to have federal participation in state-level planning without federal intervention. Furthermore, I believe that such participation could enhance planning at the federal level. In short, I want to throw on the table a different approach to the general problem that is embodied in the controversy about 1202 Commissions.

I ask you to consider the possibility of having the federal government purchase from each state an annual report on its postsecondary education enterprise. This might require entirely new legislation, or perhaps be accomplished by revising the existing 1202 Commission legislation. In either case, the law could require that each state report address, in both quantitative and qualitative terms, matters of concern to both state and federal governments. I have in mind concerns such as these:

> Students, access, graduate education, choice, excellence, productivity, and the noncollegiate sector.
>
> The impact of federal postsecondary education legislation and financing on the state.
>
> The interaction of federal, state, and private dollars on national and state objectives.

The exact nature and contents of such a report should be carefully specified and the costs of compiling it closely estimated.

In my estimation, such an approach to the achievement of constructive federal participation in state-level planning of postsecondary education would have at least these advantages:

> The report could be compiled by an existing state agency, without federal intervention in any form.
>
> The report would reinforce state-level planning.
>
> It would address state-level problems from a federal as well as a state perspective.
>
> It would reinforce federal efforts, those of

> the National Center for Education Statistics in particular, to compile a national report on the state of postsecondary education.
>
> Taken together, such reports from the states would provide an informed basis for federal initiatives so that they might be taken with a better comprehension of the problems confronted by the various states and the probable effects of the federal initiatives in each state. Such reports would pave the way for factually-grounded, sympathetic discussion of the mutual problems of the states and the federal government regarding postsecondary education.

I have decked my proposal in glowingly affirmative colors. But I know full well that it is not a panacea. I realize, too, that it preserves only the concept of the 1202 Commission--not necessarily the commissions themselves, as presently constituted. Some commissions might survive as reporting agencies, others might not. A considerable debate could arise over whether such reports should be required by federal law, or invited. Difficulties would be involved in making sure that reporting procedures are standard, so that the information produced across the states is actually comparable. But I hope you find the idea worth considering, and that you will view its weaknesses with a constructive eye. Thank you.

A lengthy question and answer period followed Dr. Lawrence's address. The questions from the conferees and Dr. Lawrence's responses follow in slightly edited form- ed.

Question: "I was interested in your reference to the forum aspect of the 1202 commissions--it might facilitate communication because it ties in with what we talked about earlier in our meeting. I would like to pursue your idea a little further. What is it that specifically could be discussed in these forums? What kinds of forum action would be appropriate?"

Lawrence: "Well, the first major discussion topic that comes to mind is the impact of federal initiatives on state government. This is something that, with all due respect to those who labor so hard at the federal level, many federal officials do not seem to understand. And if they do understand the concept, they have failed to get it across to their congressional leaders. Of course, I recognize that in some cases even when it is gotten across, the congressional leaders simply choose not to follow that particular course of action.

But it is true that we are seeing emerge in the field of education, the trends of distortion of both federal and state objectives that occurred into the other social service program some years ago. Some state legislators were talking about it four and five years ago but I completely ignored it, because I didn't think it was very important. We were living pretty 'high off the hog' and lots of dollars were coming in. But now as the dollars get very tight and the states are again assuming much of the initiative, a resentment is growing to the federal initiatives that are trying to direct the use of 'state' dollars. I am sure there must be some of you here from states where the state budget officers and the state legislative fiscal groups are indeed gearing up with the specific intent of trying to make sure that the federal initiatives do not distort the use of state dollars in higher education, as well as in the other social programs. That would be my number one topic for that kind of a forum. The second topic that I would be concerned about is the collection and analysis of data that would help shape the understanding of the postsecondary education enterprise within the state and at the national level. I would have to do a little more thinking to give you a more extensive list, but until you address these two concerns, I guess I would not want you to take on any others."

Question: "Two of the items which you referred to in your presentation as possibly being appropriate for consideration were the common analysis of the map of the proprietary sector and the identification and analysis of what you termed 'latent clients.' Yesterday there was a bit of exchange as to whether or not, given the modest resources presently available, it would be better for each state 1202 to go its own way and make up its own small priority list, or whether there might be greater impact if one or two topics were to be chosen for common attack. The concensus yesterday seemed to be that each state is so different that we had better not try to have any commonality. I was taken by your suggestion today that if they were to address jointly, the problem of mapping the propriety sector or the problem of serving that latent clientele for higher education, the totality of the 50 separate efforts would be more impressive and more justifiable than if each were to go its own separate way and end up with a patchwork quilt."

Lawrence: "Well, my reasoning stems in large part from the fact that I really do not think the federal government is going to give large amounts of money in this area. I was trying to devise methods in which those small amounts of dollars could be effectively used. Now in those states where the commission has been tucked away in an existing state planning agency, and it strikes me that that is not too inefficient, there may not be a problem, but where the states have created special 1202 commissions, much of the money may be used to support the overhead costs of the operation. That would leave very little left over for productive work. If you could somehow group together and make assignments as to how you are going to accomplish a unified approach, it seems the limited amount of federal dollars would have much more impact in terms of supporting the concept of federal participation in state level planning. It might also reduce apprehensions that if the federal government is trying to superimpose some organizational structure on the state."

Question: "I am interested in your suggestion of interstate planning and consortium-type arrangements to be made within geographic regions. As we are all well aware, there are already a number of established regional coordinating bodies. How can you see then the state 1202 commissions planning efforts within a particular region getting together with these existing regional bounds and coordinating groups while at the same time focusing, not just on higher education, but on all of postsecondary education?"

Lawrence: "As many of you know, the Education Commission of the States and WICHE have in particular tried to get regional organizations to cooperate. I think the Education Commission of the States, along with SHEEO, has to be commended for its leadership in this endeavor. They have not been completely successful, especially in two regions, but they are to be commended for their efforts. I think we need to get these regional organizations together and start working in an organized manner. Are we interested in the development of higher education, or are we interested in protecting our own preserves? I just do not happen to think that individuals need to link their personal fate to a particular organization so that they become necessarily defensive of what is happening to that organization. And I, for one, would like to see the regional organizations, the state organizations, the 1202 commissions, get together in some kind of common form; and I do not care whether its the Education Commission of the States or the 1202 commissions that take the leadership. But if we are going to do something for higher education in terms of planning and developing policy at the state and national level, we are going to have to do it in a cooperative manner. There is very little cooperation that will be forthcoming from our state legislators, because they are allocating the dollars, and the congressional groups have not been able to get their act together even though we have very many strong supporters on the congressional team. It was just yesterday that the NCHEMS Board was criticized because they just could not seem to get together in terms of policy analysis, in terms of getting information together to provide the congressmen with the kinds of impact that they need, and in terms of forgetting all of the various interests represented. It appears that the regional organizations are not providing the kind of forum I am referring to. If it is going to happen, it is going to be in the type of forum that SHEEO, ECS, and the 1202 commissions can cooperatively provide. This does not necessarily mean that we are talking about superimposing state opinions on institutions, because I think virtually everyone in this room recognizes the need for local autonomy for diversity of our educational systems for the quality and excellence that has been built in our traditional system. We are trying to talk about how we can effectively plan and apply resources to carry out those plans to preserve those traditional characteristics of higher education. I think we need to get rid of our own concerns about our own survival and about the survival of our individual institution and get together in some sort of a common forum. If the 1202 commissions can provide it, I personally will be right behind you, because we need that kind of forum."

Question: "I think I heard you saying in your comments that the need for well-defined missions seems to be very important. We seem to be assuming, and I think incorrectly so, that the current mission of the 1202 state commissions is comprehensive statewide planning. If one takes the law as a whole, there are three types of responsibilities - Title X, Part A; Title X, Part B; and Title X, Part C. And unless you would add undue significance to those three words in that heading, its not clear that the mission is comprehensive statewide planning. Now what you said is significant to me because an issue that we didn't really focus on yet is the question of whether or not it's appropriate for the federal government to, in a sense, dictate through wording such as Section 1202, the nature of an agency to be responsible for comprehensive statewide planning at the state level. There is a fundamental conflict, between the wording of Section 1202, and the position of many states, that representation of certain types of institutions is inappropriate. That issue is still alive. Now what I hear you say, and to me it may be the clue to the future of these organizations, is let us not necessarily think of the role of the commission as comprehensive statewide planning for all postsecondary educational resources at the state level. Instead, let us capitalize on the existing inadequacies or uncertainties implicit in the law as it has been written, and identify a mission within the framework of that law which makes sense in terms of what needs to be done."

Lawrence: "Let me articulate three, I hesitate to call them missions, but three activities that I think 1202 commissions. and you may have to reorganize the blasted things in order to do it, but three missions that I think are important. First, there needs to be some mechanism that will enable federal participation in the state level planning process thereby bringing the federal perspective to the state level. Second, we all know that statewide planning is in various states of disarray. Some are doing it in a comprehensive fashion. Very few states are really looking at financing problems; they are looking at budgeting problems and program problems. I have been shocked at the number of people in state agencies that do not know the difference between budgeting and financing. There are holes in the planning process, not by virtue of intention, but by virtue of the fact that the total concept of planning is not fully developed for higher education, by virtue of the fact that state resources were limited, and so on. One of the missions of the 1202 commissions in my view could be to facilitate the rounding-out of a comprehensive statewide planning process. That does not mean they have to do it; that does not mean they have to be in control; but through the resources that are available to them through cooperative programs among the 1202 commissions, they could supplement, in the most urgent places, the existing state level planning process. And thirdly, I think, they could provide that kind of forum for the cooperative attack of problems and for the discussion for reconciliation between federal objectives and state objectives. Take a state like California. It is substantially ahead of most states in terms of a provision of education for its people. You take another state, which will remain nameless. In terms of the resources they had available, in terms of the time when they started planning, not by some design or malicious intent to keep their people from having access to postsecondary education, but by virtue of the historical scene in that state, they are at a different level of development in terms of higher education or postsecondary education. The differences between the federal objectives for the state of California and the federal objectives for the second type of state are substantial, and there needs to be a dialogue going on that 1202 commissions can provide."

Question: "Ben, what you said is very exciting and it seems to me that whether or not we need to rewrite the educational amendments in these sections is rather a moot question. What you have suggested is that if this group representing the independent states and territories as 1202 commissions would organize itself into a cohesive body with a secretariat that could set for itself a goal of inventorying, for example, the proprietary sector, of trying to pull together the data which we already have, of going out and getting the other data, and of publishing a compilation of these data, that this might be one of the most dramatic kinds of evidence of the usefulness of this group."

Lawrence: "Well, you are right in terms of concept, but I question seriously whether the 1202 commissions ought to form another organization with another secretariant because as you know, the states have not been absent in this field. You do have SHEEO and you do have the Education Commission of the States. I am not trying to suggest what should be the organizational procedures, but I can think of one immediately that I think would be a better way of attacking it. That would be to go to the Education Commission of the States or SHEEO and say 'help organize us.' Reinforce their efforts rather than creating another organization. Now there may be other mechanisms, and one of the mechanisms that I did suggest was the notion of the federal government taking the initiative by requiring from each state,a 'state of the state education' report with projections into the future as to what's going to happen if the federal government does this kind of thing. You could possibly carry out this planning process with virtually no organization at all other than the existing organizations. Now that is a question of political interphase between existing agencies and 1202 commissions and a lot of other things, but I would be hesitant to support the creation of yet another body that creates communication problems. And there is one more thing. If the 1202 commissions did decide to get together to form a secretariat, imagine what the impression of that organization would be -- a federally sponsored agency funded by rich uncle, a minimal effort at first, now organized and now feared as a new federal intervention mechamism. I think that they could be labeled as being in opposition to state planning rather than in a partnership with such efforts. I think when you look at how you are going to carry out these functions, you have got to find some way that recognizes the unique organizational functions within each state, some way of getting federal participation but not federal intervention, because if you do not, hostilities will be there. Several legislators would view, and already do view, the 1202 commissions as a form of the concept of the federal government sending in the troops again. They feel the same way about 1202 commissions as they do about the energy czar coming to the West and saying they are going to take over our coal. One of the interesting reactions that NCHEMS got the other day as a part of its evaluation was that NCHEMS is an instrument of the federal government trying to cram information on to institutions of higher education. And our board was sitting there made up of better than 50% of institutional representatives and was just flabbergasted by the feelings of people as they came in on questionnaires about this particular perception, simply because we receive a large amount of our money from the federal government. And that does not do much for the image of

NCHEMS when they are trying to work with institutions that are not close enough to recognize what the mission really is. The 1202 commissions could get themselves into an even more difficult bind simply by virtue of the fact that they would be almost totally supported by the federal government."

Question: "I agree with your observation, but as I see the particular problem of data collection and analysis at this first stage as probably the most important thing that all of us have to do individually within the states and collectively within the nation. Your approach would have 51 separate studies, and this other approach might come out with a compilation of one volume."

Lawrence: "My approach would have 51 separate studies conducted under guidelines laid down for the purpose along with the comparability of the studies so that they could be integrated at some other level, say by NCES. Since NCES is currently charged with that in its new charter (and that, in my judgment, should be NCES's prime focus) it would seem an appropriate function. All of its other activities ought to be designed to producing that massive report with projections into the future and reporting the spin-offs back to the states to help guide policy and to help individual institutions. The two things could be wedded together so that we really have a sound approach to planning."

PART III - PANEL PRESENTATIONS AND DISCUSSIONS

In this section we present material resulting from the two panel sessions included in the Conference schedule. One of the panels consisted primarily of informal papers and remarks of two congressional staff members currently counsel to committees dealing with 1202 commissions and other legislative matters related to postsecondary education. This panel material is presented here first in its entirety, including the introduction by Richard Millard and Aims McGuinness, remarks by the two congressional staff members, Webster Buell and Robert Andringa, and concluding comments by John Phillips - ed.

Richard Millard:

I think all of you are well aware that the years 1975 and 1976 will be as decisive as 1971 and 1972 were. There are critical bills before Congress that involve not only the 1202 commissions but the full range of postsecondary higher education. The amendments of 1972 technically expire this year. As you are well aware, there have been extensive hearings before Congressman O'Hara's Committee on Title IV, Student Assistance. There are parts of this that have direct impact not only on 1202 commissions but on the states in general. All of the other Titles I, II, VI, and VII come up for reconsideration this year or next year. Whether we get a bill this year or next year may be open to question and our speakers this morning may well be able to give us some prognostication in that direction. In light of some of our discussion here, the Voc-ed bill is very active. It could have as much impact on the states and on planning for postsecondary education, not only the 1202 commissions but other existing commissions as well, as any Act has had in a long, long time. We are in an extraordinarily critical period, not just from the standpoint of funding (as important as that is), but from the standpoint of the possibility of again redrawing the map of planning in state postsecondary education. I think it has been quite accurately said that the education amendments of 1972 probably was as important a piece of legislation as anything since the Higher Education Act of 1965. The amendments of 1975 or 1976 could be equally important and could again change the map. We are extraordinarily fortunate to have with us two very important actors in the field. However, I am going to ask Aims McGuinness to introduce them for several reasons. One, as you're quite well aware in that famous alliteration of McGuinness, McKinney, and Millard, McGuinness is the first. Further, Aims did do the first very important section on the history of the legislation, its implementation and so forth. Second, Aims, as you know, wears about three or four different hats. He is an Executive Assistant to the Chancellor of the University of Maine. He is currently completing his doctoral degree at Syracuse University. He also served as a volunteer helper to Senator Hathaway from Maine. Finally, he is intimately acquainted with the Hill, he is intimately acquainted with what goes on in the states, and I recommend him to you as a first rate historian and prognosticator.

Aims McGuinness:

The people I am going to introduce have been awfully important to me over the years, and I really can't thank them enough for the help which I received in putting together the first part of that report. Bob Andringa is minority staff director for the House Committee on Education and Labor, and has been on that staff since 1969. On the House side he had the honor of working through all the conferences and all the processes leading up to the 1972 amendments. I must say he was certainly the most helpful person on the House side of anybody, majority or minority, in sensing the problems related to 1202 and being of assistance to me. I am often associated with the legislative history of this thing, but actually I was on the outside sitting in a corridor getting bits and pieces while Bob really had a major responsibility for putting things together from the staff point of view. The first presenter on this panel, Webster Buell, has been on the Subcommittee on Postsecondary Education staff for a year. He is counsel to that subcommittee which Mr. O'Hara chairs. They are working on student assistance now and I'm sure he will be extremely helpful as the process goes along during the next year. So, I'd like to introduce first Web Buell.

Webster Buell:

The subcommittee as most of you know is presently considering amendments to Title IV, the student assistance portion of the Higher Education Act. The Bill that is before us there was introduced by Mr. O'Hara on Feb. 20, that is HR3471. We've been holding hearings on that bill since March 12, in fact they wound up today. This bill as well as other legislation that will be considered by the subcommittee and by the Congress later in this year has great implications for state planners and for the states in carrying out their responsibilities in the higher education area. I think I will start off by summarizing some of the provisions of the bill and then we can open it up for questions later on. There are two bills, HR3471 which deals with student assistance and HR3470, introduced on the same day, which deals with everything else. All the other Titles of the Higher Education Act, as Dick Millard pointed out, are going to expire. The expiration dates in the law are June 30, 1975. By virtue of the Education amendments of 1974, there is a contingent extension provision which extends those programs to next year, June 30, 1976. So, we are not running up against a serious time problem in the next couple of months dealing with all this legislation. Over the next year we may run into a serious time problem when we take up the other portions of the Act. As Dick also pointed out the Subcommittee last year had extensive hearings dealing primarily with student financial assistance, HR3471. And we continued those hearings this year with the bill. The present plan of the chairman is to wind up hearings today, take some time off to think about it, and to begin the "mark up" of the student financial assistance portion of the Act. No timetable has been set but he would like to do that early this year if possible. Then, we will move on to the other portions of the Higher Education Act after student financial assistance has been dealt with by the House and by the House Subcommittee and full committee on Education and Labor. The student financial assistance bill, and many of you have probably read about it, extends and revises each of the student financial assistance programs contained in Title IV. I'll go through them very briefly and in a couple sentences talk about some of the changes that are made by the Bill in those programs, and then we can deal with questions later on if you like.

First, the Basic Educational Opportunity Grant program will be continued under the bill as it stands today. There will be some substantial changes in the program, if Mr. O'Hara's bill is subsequently adopted. The first major change is that the half-cost, half-need features of the bill would be eliminated under HR3471. And that has been a subject of much controversy in the hearings. The next change involved is that assets would be removed from determination of family contributions. The feeling that Mr. O'Hara has is that inclusion of assets needlessly complicates the program. It may in many cases work an unfair burden on individuals who have very low incomes but, on the other hand, have some substantial equity and an asset which itself produces little income, such as a home, small business, farm. This is following the New York program which does not include assets for their tuition assistance plan in determining family contributions. That again has been another matter of controversy in the subcommittee. I think this is an area in which at least some of you could make a contribution. The knowledge that you have as to how programs operate might be very useful in the ultimate determinations that the subcommittee and the congress makes in this area. It has been a matter of some controversy but very little useful information has been provided to refute Mr. O'Hara's position that assets are not or should not be considered when determining family contributions. There has been some controversy also, and some erroneous information, about the provision in the bill regarding the maximum grant that would be allowable. It has been reported erroneously that it would be $600 or $800. A lot of people have relied on that information. In fact the bill provides that the maximum grant under the BEOG program would be whatever the maximum grant is next year. John Philips assures us that will be substantially above $600 and may even approach the $1400 figure that is presently in the law. These are the changes in the basic grant program.

There are also changes in the Supplemental Opportunity Grant program. The basic change is that it would be changed from a college-based program to a program administered through the Office of Education; it would provide full grants to students who qualify both for a need-based grant and on the basis of their academic promise or potential. It is a two-part qualification in the bill's provision for supplemental grants. This again has been a matter of great controversy in the hearings that we have held.

The bill makes major changes in the SSIG program. I think this would have great impact on many of you in your planning activities. The bill proposes that SSIG's authorization level be quadrupled from 50 to 200 million dollars. It is also proposed that the SSIG money matching money could be used for one or all of three different things: (1) grants to students; (2) state work study programs; and (3) increasing capacity at zero tuition colleges within the state. Yesterday it was pointed out that many of the agencies that presently administer SSIG programs are also the agencies responsible for 1202 planning within the state. I think the overlap will have serious and important ramifications for your activities in the future. Other programs, the so-called "Trio" programs, are changed in the bill by including veterans as the target group, and increasing the authorization for such programs. The bill does not include a continuation of the veteran's cost of instruction program. On loans, guaranteed loans, the bill makes major changes that again may have implications for some of you. The biggest change is in the area of state guarantee agencies. The bill, if it were enacted as it stands today, would end the direct federal insurance program within two legislative sessions in any given state. The state would establish its own guarantee agency which would first guarantee the loans and then be reinsured for 80% by the federal government.

That again has been an area of great controversy in the hearings. The bill makes some other changes in loans of a technical nature. These changes are in keeping with Mr. O'Hara's view that loans are not the best form of student assistance, that we should not rely extensively on loans to students and shouldn't put students in the position of having to rely extensively on loans. So, the bill would propose that loan limits be reduced. Present law provides that a student can borrow up to $2500 per year under the federal guaranteed student loan program. The bill would provide $1000 maximum loan limit in the first year of postsecondary education and $1500 thereafter for any given student. This change to guarantee agencies would be accomplished over a period of time, two legislative sessions in the given state. There are other changes in programs in the bill, one is in the national direct student loan program. That change basically is to end federal capital contributions to the NDSL programs, leaving the institutions with the funds they now have for the purpose of making loans to the students. This is a rather dramatic program change as well.

Some other changes proposed in the bill concern work-study. Mr. O'Hara has already indicated that he would be willing to offer an amendment to his own bill to increase the authorization levels for work-study programs and he feels that the figures that are presently in the bill are too low. Work-study would increase the authorization level and remove need as the criterion for giving preference to students for participation in work-study. It would also create under the work-study area a job creation program that would reimburse schools for their efforts in finding non-subsidized jobs for their students. This would be 1% of the payroll generated in that way. And there are also some significant changes in the general programs or the general provisions of the student financial assistance area. There is a consolidation of definition to not have a series of definitions for the different programs and to rationalize that to some extent. In addition there are requirements that schools participating in these programs do certain things regarding refund policies, disclosures to students, and so on. One other change that relates particularly to guaranteed student loans is that correspondence programs would no longer qualify for participation. A student in a correspondence program could no longer get student assistance unless he was geographically distant or so physically incapacitated that he couldn't attend a residence course of instruction. Now those are some of the major changes; there are a lot of other items that I haven't touched on and perhaps if you have questions in any particular area I could help you after the presentation here.

The other bill, 3470, simply extends all the provisions of the other Titles of the Higher Education Act until 1980. It will be a beginning point when the subcommittee takes up those other issues after student assistance is completed. Now, I think you can see that the changes that are made as well as the operation of present programs has impact on state planning. Members of Congress, members of the subcommittee would very much benefit from your inputs in those areas where you have information about how these programs operate and what impact the changes that are proposed would have on state activities. I think at this point I'll turn it over to Bob Andringa and then we can go to questions and answers after Bob has concluded his presentation.

Robert Andringa:

I'd like to take a little different tack although I would just love to get into a debate on Title IV in which we've been most engrossed, and I think it's fair to say that the majority of provisions in the bill that was introduced are of considerable controversy. We have a real tough task ahead of us in the next couple months. I like the tone that I've sensed since arriving last night, one of candor and frankness. Warren and Ben I think have accomplished that with you and I think that it's necessary. I think we need it now in all areas of our national life, foreign affairs, economy, and so forth. We need a sane assessment about where we are and about the role of government at all levels, what we can and cannot do. And I think that the public is looking for a new kind of authenticity in those responsible for the public interests. Now, the comments I'm going to make are frankly the result of just trying to outline where I am as a result of six years on the Hill. I did not spend a good deal of time trying to develop new theories or ideas. The comments that came to me are obvious, but I hope that you understand that they are obvious to me only because I work and see this whole picture of postsecondary education from only one particular vantage point, in the Congress.

I am trying to fit in with the program so far so I decided to entitle my remarks "A Recipe for Alligator Soup." First, some general observations. Personally, I believe that postsecondary education can expect only modest, if any, increases in total outlay for higher education, and that keeping up with inflation in the next four or five years is the best that we can expect. I won't go into why I feel that way; it has to do with our new budget reform, the economy, pressing issues in other areas, the nature of controllable and uncontrollable funds in the federal government, public opinion polls, those that are in leadership in the various committees, and many other factors. But in that whole list of important factors that I think we would have to assess, I frankly do not see many indications that my observation is incorrect. Second, I think there will be a slowdown in the rate, but still an increase in the number of federal programs affecting postsecondary education, of which now there are approximately 380, and these will emanate out of whole series of committees and subcommittees on Capitol Hill that have very little dialogue or coordination among them. Third, and unfortunately, I forsee an increasing number of amendments to laws and regulations from executive branch agencies that will impose limitations, set new criteria and add requirements for institutions to meet in order to get federal funds. This observation is based on the thrust of the new consumerism movement, on sex discrimination and related lobbies, and on the interest in privacy. Also, I might add on the renewed national campaign for no or low tuition as a policy set by the federal government. I know that Web will differ with me on this but I believe that it will be disastrous if the federal law imposes limitations on the states and institutions concerning tuition because, as you heard in my first observation, I do not believe that the federal government will be there to pay the costs. Now, I don't believe that you should expect, and I think that in this group you don't really want, any substantial help from the federal government in negotiating the tough questions related to declining enrollments in the 1980's, problems of tenure, collective bargaining, and all the other problems you know better than I. These are problems which I believe individual institutions, in exercising the traditional autonomy which many of them have enjoyed, will be able to resolve. And more and more college presidents are admitting, usually privately, and not before us in public testimony, that the problems they see cannot be resolved by their own boards and their own organizations. And so to me the state is really the only place to look. Whether it's the right place and whether states will be ready in the next ten years to handle those tough problems remains to be seen.

Now let's move closer in on 1202. First, I think the report by the 3-M group is very good and I hope that you will take the time to read it. I would just make one comment. The section on Congressional intent I think is as good as any assessment that I've seen, but I would just add this. It is not important today in 1975 to worry about what the intent was in 1971. There's a new chairman of the House Committee; the older chairman is no longer in Congress. There is a new ranking member in the Senate committee; there's a new ranking member in the House subcommittee and the previous ranking member, John Dellenback, is no longer in Congress. Intent is what anyone says it is at any particular time and it is much more important to be thinking about what the current leadership is doing and saying rather than what it might have been doing and saying in 1972. How do we assess 1202 to date? Let me be very candid in terms of all of the debate that is going on right now in Congress. 1202 and state commissions is about 1/2 of one percent of the time, so these are mainly my own observations based on just informal discussions with members of Congress, most of them on the minority side. First, we were very surprised so many were formed. We know that it doesn't take much money to get institutions engaged in any program, but I think that we were surprised that so little money could get states involved in a new initiative. We were hoping that Title X would be a major new important thrust, with substantial funds behind it, but the whole economy changed soon after the amendments of 1972 and that's not the way it worked out. We ended up with only modest amounts for 1203. We have had in terms of phone calls, visits, and letters, very few complaints about under-representation, and when we do get any, we say call your Governor because it's something we frankly just as soon not get involved in at this point. We are pleased by the communications which we've received saying that this is the first time all segments of postsecondary education in our state have met and talked with one another, and that it's happened not only at the state level. Soon after 1972 I would go to meetings at the national level where heads of major national associations, especially in the vocational and proprietary sector, would introduce themselves to the heads of major national higher education associations four blocks away in the city of Washington. We've seen very little of the products of this happy new process, and maybe it's too early and maybe we shouldn't be looking for products, because as far as I am concerned what we tried to set in motion was a process, not something to develop new products. I think Ben's idea might be a good one, but my question is who in Washington is going to read 50 state reports. I have yet to meet the person. Now, some of the commissions are providing a very useful service in being a buffer between the institutions and the state political process. And I believe in ten years even the faculty are going to be thankful that there was a somewhat more sympathetic group at the state level to work with. In many cases this buffering has headed off more arbitrary and politically motivated incursions of the legislative and executive branches. We'll have to wait and see if I'm correct.

Now what do we see for 1202 commissions in the future? Or more appropriately state-wide commissions? No way but up and only the details are in question. I think most members are not sure how far to go beyond the planning function. Most of them I think would be open to review functions, to sign-off functions; but I think there is still a considerable hesitancy to impose administrative functions from the federal level, even though the states have given many of you administrative functions. I would have to say that Titles I, VI, and VII are of relatively low priority. And in fact I think there is a legitimate question as to whether they will have any priority in the new legislation. I think the debate on the bill that extended all the non-Title IV categorical programs would have been healthier if the bill would have repealed all the other programs and we would ask the higher education community to present data and evaluation and justification for continuing each one.

I see continuing modest federal funds for 1202 commissions; the subcommittee in the House Appropriations Committee reported 3 million dollars for 1203 planning. The full committee appropriations committee met yesterday. I do not know what their decision was, and I would say that the members that I work with, Al Quie and others, would like to see the 3 million increased. But a request for 5 million on the Senate side is probably a more realistic expectation. Now if you are going to get more than 3 million, indeed if you hang onto 3 million, it's going to take two-page letters from all of you to the members of the Senate and the Appropriations Committees. I don't think that the state organizations can begin to understand the dynamics of interest group politics. The Association-based institutions are on the Hill daily, and I mean every day, talking to staff and talking to members and so forth. And although Dick Millard and others represent state agencies as well as any individuals, you know that they are spread very thinly, because you see them in Phoenix, and in New Orleans, and all over. I have not seen one letter, not one, from a state commission asking for funds for 1203. I have seen dozens and hundreds of letters from institutions asking for more money for this, that and the other program.

I see a possible new role for 1202 commissions coming out of the vocational education amendments. In the House, the Voc-Ed Act and the Higher Education Act are dealt with in two separate subcommittees, each going its own way and on its own time schedule. In the Senate, these two Acts are dealt with by one subcommittee, chaired by Senator Pell, and so there is at least more hope for coordination out of the subcommittees in the Senate than in the House. But the higher education community has been more involved in the Voc-Ed hearings this year more than ever before, and the state colleges and the land-grant colleges and the community colleges have all testified urging that the 15% set aside for Voc-Ed be increased to 30-40-50%. I suspect that it will be increased, but of course, the higher education community would not want the state voc-ed boards to be making the decisions in their own state planning. Someone will have to do that planning then, for that part of voc-ed's money that's going to postsecondary education. I'm not sure where it will end up, but it seems to me that whatever the details again, there is only one way to move in terms of involvement of your own commissions, and that would be greater involvement. And it's possible that the Voc-Ed Act would supersede Title X-B. Practically speaking it is much easier to work with a long-standing program that has been funded than it is to get initial funding for a program that has been on the books a couple years that has never received any money.

Now, just in closing, what would I be thinking about if I were in your shoes?

First, I would be concerned about increasing the quality of your staff through exchanges and informal newsletters, and I would work with universities to develop intern programs for doctoral students through the programs that Warren Hill is putting together. And if the quality of state leadership is improving and increasing, the federal government is going to be more willing to leave the decisions to the states and to withhold their own imposed criterion regulations.

Second, I would learn how to increase involvement of your lay-board members. There was a time in the 1960's when you couldn't ask for any more creditable and impressive witness than a college president, and indeed many of them still are. But, a layman has a unique kind of credibility these days. We hear day after day from educators about more money and more federal help and so forth, and you begin to wonder if anyone else in the country is concerned about higher education. And I think it would be a great help at the federal level and I am sure it would be at your state level if more and more lay persons, lay-leadership in the state, non-educators, appeared before the legislative and executive branches. Many times they have political contacts, friendships and trust relationships with key members of the legislative and executive braches that people in education do not have.

Third, I would start thinking and talking openly and candidly about the day that I believe is coming (and you may disagree with me) of bankruptcies, forced mergers, reduction of programs in state colleges and universities, and so forth. And you know as well as I that quantitative analysis won't mean a thing--it will be politics, emotion and end runs. It seems to me that those that are not involved in an institution should begin to develop the credibility of laying these facts out on the table. I can't remember a witness who has candidly presented to our committee this year the trend lines of demographic data in the next ten or fifteen years. The 18 to 21-year old age group in 1991 is going to be the same as it was in 1965. It's gone up and it's going right back down.

Fourth, I would start thinking creatively about continuing education, life-long learning, or whatever you want to call it. I don't believe adults are going to swarm back to the college campus to sit in classrooms to accumulate credits. Surely not those who already have served their time with four years, six years, or in my case, eight years on a college campus. There's going to be an interest and a demand for learning opportunities, and I am simply saying that most of this interest and demand is not going to be met in a traditional college campus program.

Fifth, I would find ways to make use of the private sector for a very practical political reason apart from some substantive reasons which I think we would hopefully all agree on, and that is if you continue to build up the public sector to the point that someday news articles highlight the fact that buildings are no longer used or only used three hours a day, then the public support for increased appropriations for higher education is going to diminish. We need only to look at local school districts; they close three elementary schools and who wants to vote yes on a bond issue for new money for the school district? The average voter says it doesn't make sense. So I believe that any increases and expansion we are getting at this point ought to be absorbed in a private sector so that the public system is more flexible in six, eight, ten years from now.

Sixth, I would work at bringing about better coordination of the several state level agencies both within the state and perhaps some coordination nationally. The loan guarantee agencies are organized and they are very active. They have a representative on the Hill two days or three days a week. So do scholarship agencies, associations of the financial aid officers, the business officers, the state budget officers and others. Each one is trying to present its case, and I think the case for the state role is that there is a common interest among several of these organizations, the potential of which has not been tapped in terms of presenting to the federal level the rightful responsibilities and prerogatives of the state. Now we tend at the federal level to oversimplify I'm sure and we look at the "state" and we don't want to think beyond that into the various little organizations and associations.

Seventh, I would work closely with the state officials and staff active in the recently reorganized National Conference of State Legislators based in Denver, and an office in Washington, and the National Governors' Conference. Again, if the political leadership of your state is aware and informed, then their contacts with the political leadership at the national level should produce results for you. Let me read one sentence out of last year's policy positions in the final report of this national legislative conference of some 8,000 state legislators. This is the committee on inter-governmental relations which is their spokesman on policy matters, "The committee supports the establishment within each state of a single postsecondary education commission capable of planning for and coordinating all facets of postsecondary education as well as disbursing all state and federal postsecondary education funds." Were you aware of that?

Eighth, I would designate one staff member in each state commission to monitor federal activity, and it could be a fairly low-key responsibility. I would say he should read Higher Education Daily and The Chronicle, and if he's really unusual you might have him look through the Federal Register once in awhile. But that person ought to be thinking daily, is there a need for a comment? Is there a need for a letter or a phone call? Who should write the letter or make the phone call? Shall I draft the letter for the director of the commission? Shall I draft it for the chairman of the commission? Should we try to get the governor to comment? Someone has to be thinking that way. In many of your states I know that the state director himself or herself already thinks that way, but I know you get tied up and caught up in the politics at the state level. I'm saying you might assign that responsibility so there is one person in each state agency who's just thinking that way; he's just been asked to think that way and eventually, those individuals might be the ones which we might know about and develop a relationship with.

Ninth, I would start your own evaluation now of Titles I, VI, and VII. I would shoot for some input by July 1 of this year. There are other programs. Title III in some of your states are important programs. But I do not believe that a case has been made in data I have seen for continuation of the majority of programs that were priorities in 1965. My own feeling is that almost all of the money out of the Office of Education is in student assistance. There is very little money, a couple hundred million dollars, in the other programs; it seems to me with the problems we face in the remainder of the 70's and the 80's that new kinds of problems deserve new approaches and perhaps the priorities that should be in the other Titles of the Higher Education Act are not at all like the priorities that now exist in the Act.

Tenth and last, if your state legislators and governors are anything like Congressmen and Executive Branch personnel, planners tend to become too sophisticated. Now there is a need for pushing on the frontier of policy research, and I believe there are very capable people in this country that are doing that. But sometimes when you hire a guy like myself, out of graduate school who wants to implement all these fancy statistics and so forth, I have found, as a user of research, that it's more often the problem of it being too sophisticated, too detailed, certainly too lengthy, to have any impact. It's the person who can write a quick little chart on the back of a pad in the hallway with an important member of a committee, or can give you enough over the phone in about five minutes to help resolve a question--that's the input that makes the difference. Let's be honest. I can read less than 10% of the research studies that get sent to my office and I suspect that if you're honest, we're close together on that score. Thank you.

Aims McGuinness:

There is one thing that Web did not mention that he might want to say a word or two about. There is one very, very important change in the SSIG program as proposed, and this involves the question of assessment of state effort. Let me suggest that if you have not gone through the proposed Title IV, it is extraordinarily important that you do so. Web has underlined some of the important changes, or proposed changes in it; there are others.

Richard Millard:

If the Title IV as proposed by Congressman O'Hara is adopted it will involve major changes. I think there is no question about that. One other thing I would like to say though in relationship to the subcommittee under its new chairman, some of us who have had some experience over the last few years in connection with the Congress have been utterly amazed at not only Congressman O'Hara's energy, but his openness. I think something happened in that committee that has just never taken place before. At least I don't know of it. Is there a parallel anywhere to the series of seminars that Congressman O'Hara held? If there is, I'm not aware of it. It was unusual in the sense in which Congressman O'Hara did bring together quite a wide range of people from the higher education community, the postsecondary education community, the various agencies around the country, and made it possible for these people to sit around and talk informally without representing their agency. Some of the discussions in those seminars were very, very interesting. Would you like to comment, Web, on the state effort part of the State Student Incentive Grant program?

Webster Buell:

Briefly, it is a new allocation formula that is a take-off on the Kirshling-Postwiler formula you may have seen for measuring state effort. Basically, it's a formula based on state direct expenditures for operation and maintenance of institutions of higher education, plus student assistance payments made by the state or programs financed by the state, divided by the total personal income of the state. This figure is then multiplied by the total students in the state, divided by the total population of the state. There are all kinds of variations; these were developed in reliance in part on some of the work of Ben Lawrence, Wayne Kirshling, and the late Rudy Postwiler. The figure that you arrive at is a state effort index, and the maximum grant for each state is then computed. Each of the other states is a percentage of the maximum state grant.

Richard Millard:

On behalf of all of us here at this conference, I want to thank both Bob Andringa, Webster Buell, and Aims McGuinness, as well, for a most informative session. The value of having you come here directly from Congress and telling us in detail and candor the latest events and status of the legislation is inestimable. Thank you again.

The second panel presentation recorded in this section of the proceedings focused on the broad issues of coordinative planning from a variety of perspectives. The panel was moderated by John D. Phillips and included Mr. Lanny W. Hassell, Executive Director, Arkansas Advisory Council on Vocational Education; Dr. John F. Prince, President, Maricopa County Community College District; Mr. Edwin L. Rumpf, Acting Director, Division of Vocational and Technical Education, Bureau of Occupational and Adult Education; and Dr. Richard M. Millard, Director, Higher Education Services, Education Commission of the States. All of the panelists' remarks and the subsequent question and answer session are presented here in slightly edited form - ed.

John Phillips:

This panel's discussion will focus on the broader issues of coordinative planning. We will take into account not simply the limited funding situation that we have in the 1203 activity, but also try to look at that activity in the context that Professor McKinney outlined in his paper. To accomplish this task, we have a very very good panel assembled. Each of them will offer his viewpoint on what the resolution of some of these basic conceptual issues of planning ought to be, and how he views the current status and prospects of the 1202 commissions in that context. After they have completed their individual overview statements, we will then ask each of them to respond to any of the other statements that have been made and also ask the audience to offer comments. We hope that in this session we will have an opportunity to enter into a good exchange and try to come up with some ideas on how we can resolve some of the concerns that Harry McKinney framed for us earlier.

Lanny Hassell:

I work for a state vocational-technical council. Such councils are required to evaluate vocational education. Naturally we are interested in legislation which affects vocational education. Thus, when the 1972 Amendments came out we took a very good hard look at them and discovered they were one of the most exciting pieces of legislation that had come down the pike in at least the past 20 years. They were very broad and they were very comprehensive. They could, I think, literally turn the educational system upside down. You may not know anything about Advisory Councils or our role, but had the Amendments been fully implemented, with regulations from the Administration and at least credible funding from the Congress, you people in this room and I and my counterparts would have formed a team to do some planning such as, I think, has never been done. I would like to briefly touch on how it came about.

If you look at educational legislation, beginning with 1900, you can see it has become more complex with the passage of time. This is not particularly surprising since our society is getting more and more complex. But with the 1972 Amendments, Congress called for a comprehensive approach; if you will, a total planning effort toward education. Unfortunately it is something that has not been done and it is something that still has not been accomplished. I think part of the reason the Amendments were never funded, why the appropriations committee never put any money up, or Congress never really supported them was that even though it was a total approach and could have given us total planning, the legislation itself was doomed. John alluded to it earlier this morning. If you look at Title X, you see fantastic legislation. You have Part A and you have Part B. Part A developed in the Senate and was primarily higher education. Part B was basically the House version and was for secondary education. When they put them together some problems resulted. Good or bad, they did combine the two parts and the point is that the 1202 Commissions do have a responsibility for educational planning beginning in kindergarten and extending throughout adulthood. But yet, when the regulations were being written and talked about, what did we essentially hear? All we heard being discussed was the postsecondary element. But the point is, the 1972 Amendments in general, and Title X specifically, are not just for postsecondary education. Yet, we still have a compartmentalized approach to the total picture. I think that it is this approach, the compartmentalization that has impeded the effectiveness of implementing the 1972 Amendments and tragically so. I would like to very briefly summarize. Advisory Councils are adamant upon one point. If Congress ever puts sufficient funds into these Amendments, we insist upon the K through 16, the K - Adult type of comprehensive planning. Some people disagree with it. They say that PL92-318 is essentially a higher education piece of legislation. Maybe it is and maybe it isn't, but briefly lets take a look at it.

Look at the Judicial Review Section of Part B to Title X.

Before any program grant can be made the Commissioner must be assured of several things. So perhaps from this we can assume various priorities. First, he must be assured that the State Advisory Councils for Vocationl Education have had a reasonable opportunity to review and make recommendations concerning the total plan. The second phase in terms of Congressional priorities is that Federal funds must be spent according to the laws. The third and this is a very key one in terms of Congressional intent, adequate provisions must have been made for programs described in Section 1057 A3. What is 1057 A3? I quote: "It is the design, establishment, and conduct of programs to carry out the long range strategy developed pursuant to Section 1056 (b)(1)(d) for infusing elementary and secondary education occupational preparation which shall include..." From there we look at Section 1056 (b)(1)(d) and see what it says. This is the clincher, ladies and gentlemen, to the 1972 Amendments. In reading from this section it says: "the development of long-range strategy for infusing occupational education (including general orientation, counseling and guidance and placement either in a job or in postsecondary occupational programs) into elementary and secondary schools on an equal footing with traditional academic education, to the end that every child who leaves secondary school is prepared either to enter productive employment or to undertake additional education at the postsecondary level, but without being forced prematurely to make an irrevocable commitment to a particular educational or occupational choice." Ladies and gentlemen, this is one of the most exciting things that has ever been done with legislation. This is the epitome of career education. Now, I ask you, what's been done with it -- absolutely nothing. And if you don't think that this is where Congress placed the emphasis in this legislation look at the money. Yes, it is higher education legislation, we cannot quarrel with that, but it is comprehensive legislation for education K-16. Again, if you doubt it, let's just look at the money. I am an old fashioned sort of a fellow who believes words and platitudes come easy, but it's where you put the dollars that you see where the emphasis is. So if you don't accept the K-16 premise of this legislation, that you have as much responsibility in the secondary system as you do in the higher education, I ask you to look at the distribution of funding.

Over a three year period, in funding this bill, Congress authorized for the higher education element $291 million for the entire function of Part A of Title X. In Part B, the traditional secondary element, there is authorized $850 million, almost a three to one ratio. Now let's look and see if the job's been done over a three year period. It has authorized $850 million for Part B and $291 million for Part A. Have we done our job? How much money has Congress given us? What's three or four million dollars out of the total authorization? So, the point I am trying to make is, that these commissions have a very broad responsibility for education and one of the most important, again by Congressional mandate ladies and gentlemen, is your K through 12 responsibility for educational planning. In making this total approach to education, the people drafting those bills recognized a couple of things. First, I think they recognize that many of our four year institutions are simply not doing the job in terms of placing people on the job. I think they realize that the vocational aspect of education is lacking at all levels. I would like to read to you, if I could, from a report published by the Arkansas Council, in which they attempted to analyze the 1972 Amendments. The Congress was trying, not through Part A or Part B but through both parts combined to reach all needs of all children. As Charles Radcliffe stated, "...Congress was trying to get new leverage for vocational education outside the traditional vocational technical agencies to the point where we are really giving every child in the educational system an opportunity to prepare for an occupation." That was the intent of Congress in developing that legislation. There are some priorities that we feel must be obtained, the most important was a comprehensive educational plan, to include an assessment of the existing capabilities and facilities for the provision of postsecondary education and that means area vocational schools, community colleges, and four year colleges together with an existing need and projected needs for such education, and for infusing elements of occupational education into the elementary and secondary system. So these were, in our opinion, the priorities of Congress. It is one thing to sit back and analyze a piece of legislation, but it is another thing to be correct. After we did our analysis, and I have a few copies here if you'd like, we sent it to some of the key drafters of that legislation. One of the principal drafters of that legislation said our analysis of 318 was one that illustrated the intent of Congress better than any report he had seen. The basic thrust behind this report was that you gentlemen in this room have a responsibility for coordinating good planning at the community college level and the junior college level and at the four year institution level; at the same time you have a much greater responsibility for seeing that the people who are in those systems are prepared for those systems and that means an educational system K-12 which prepares people for the higher education element. I can't stress enough the danger of viewing this from an isolated perspective. Because we were isolated, I would even hazard to say it was one of the reasons Congress did not put more than four million dollars in an appropriation, which, in the authorization bill, carried authorizations of over $850 million and $291 million. I think that we at the grass roots level, have not demonstrated signs that we were prepared to take a comprehensive approach to education. We still have some of our higher education people protecting their interests and we still had our vocational people and secondary education people protecting their interests. They were not willing to take the 1972 Amendments and for all of its comprehensiveness and run with it, and do the type of planning that would be necessary to effect that type of Congressional mandate which is very simple and so very well put. The entire thrust of Title X, especially Part B, is you have a responsibility to produce a plan. Such a plan must insure no child will leave grade 12 and be ill-prepared to enter either college or a technical institute or a job. I can say with complete certainty that this is not the way it is in the states today. That is what this legislation was designed to do. Your responsibility under that legislation was comprehensive planning. I don't know if Congress will come back and try again. In fact we got into quite a hassel with some of our secondary educators in Arkansas and a few at even the national level because they were looking at Part B from their isolated field and they were writing their regulations as if they did not have to relate to higher education. And we said, these Commissions have to do K - Adult type of planning and the law states that the 1055 agency in their administration of programs must follow, to the letter, the plan put out by the 1202 Commission. The law is very clear in saying that the administrative agency for those millions had to follow the detail of the plan developed by the 1202 Commission.

Other parts of the legislation are not as explicit. Many people do not recognize their responsibility. But under Part A, it was quite explicit telling you gentlemen what to do and I know you all are familiar with it. But in Part B you see various references to "state commissions". Well, that is also you. That language in Part B gives you control over more funds than the 68 Amendments currently have. So I guess the main purpose of my being here and my remarks is to emphasize, if I can, the comprehensiveness and the responsibility for total educational planning which this group has.

This is what State Advisory Councils believe and it will be the theme of our conference on May 1-2, 1975 in Washington, D. C. You may be interested to know that addressing our conference we have scheduled Secretary Casper Weinberger of HEW and Secretary John Dunlop of DOL and preceding him we have a Director of the Government Accounting Office, Mr. Gregory Ahart. So you can see, we have a very high level conference planned. These men are coming together at our conference to address themselves to the problems in education. That is, the fact that education can no longer be segmented. The economics of our nation dictate that the time has come when we must all approach education the way it must be approached, from its totality. Thank you.

John Prince:

My goal today as I see it, inasmuch as I have been in a college campus program and am from the local scene, is to try and talk about what is happening in Arizona while at the same time try to relate to all other states. So in order to defend myself from later attack because of criticism I might make, I am going to say that I am talking about any of the United States, any utopian state in the country, and I hope that that will protect me from the legislature and the institutions.

Comprehensive planning in a growing state like Arizona, and most of the western states where heavy growth occurs, is tremendously important. I can say honestly that in Arizona it has been studiously avoided as though it were something wrong. The reasons here, I am sure, are the reasons you would have in your state. I look at the constituency of education and I see people who have tremendous interest and dedication to the elementary schools, and I see secondary school people who say they represent the capstone of all education. These two interests have joined together into the cohesive structure of our public school program. Then I see the community colleges and the universities, and we are not working together too well. Will the 1202 commissions do it? I don't know.

There was a very interesting study done last year by the Chamber of Commerce in cooperation with the Board of Regents and community colleges indicating that some excellent planning had been done in Arizona, and this planning was made evident by the fact that when we looked around the country our per capita costs in higher education were very reasonable. We have in the state had some planning, but it has been historically done by the legislature. The legislature has determined the rate of growth of the universities, the legislature has determined at what time the community college program should begin to take off, the legislature has determined which one of the universities will get more money so that it would grow because land is cheaper in that area, and all of this type of thing. Now this certainly is not really the best way for planning to occur. We are beginning to do the cooperative planning that we should be doing. We have been working with the universities and the community colleges in the study of transfer equivalency. That is a tremendously important thing for the students who work with us for a year or two and then move on. We have been working strongly with areas of occupational education. The universities are somewhat separated from this, but certainly have tremendous responsibility because many of the people trained by the university are those that go into occupational-education leadership. What impact the 1202 commission will have on this is still undetermined.

What happened in Arizona, and I am sure in many states was that the state commission on postsecondary education was established as not a very representative body. It brings together a preponderance of certain people from the universities and at the same time, brought on a certain amount of resentment. We do not think that three members of the state college board, lay persons, good citizens, certainly, coming from outlying sparsely populated counties will have the impact to out-talk three university presidents who have been appointed to the commission. So I would say we have a structural weakness here, but in any state where there is a political tone to the kinds of appointments made there is a handicap engendered right from the very beginning. The metropolitan areas of this state are not fully represented on our commission either. We have a strange population spread in Arizona. About 75% of the people live in two places, that is, in the Phoenix metropolitan area and the Tucson metropolitan area. Proportionately, these are not representative on the state commission, and I'm sure that if this happens in other states, it builds up a kind of reluctance to move along.

I think as the years have gone by and community college education has become an acceptable fact, and this would be true, I believe, in any state where it has, the fear of the coordinating type council or any kind of a statewide planning commission probably has lessened a great deal. I, today, if asked, would say I would be delighted to get into the 1202 if we could square away a few of the inequities that presently exist. I would be delighted to get into a coordinating council if we could get in upon an equitable basis. So I think the will for planning is good.

This is somewhat lessened when, as we now have around the country, some institutions are not drawing students as heavily as perhaps they have in the past. We then find competition developing in this state between universities and community colleges. I know that the 1202 bill makes it quite legal for universities to draw money for two-year type programs, but I happen to disagree with that very thoroughly because I think we're getting into a duplication of service. I think the community college, if it is widespread and truly representative of the state, should be the one to take care of the two-year programs--not the universities. Well, I seem to have dragged out a lot of negatives, and I think I did that intentionally. We cannot talk about the laws, and we cannot talk about the missions that shape our very course in our history, without airing the negative as well as the positive features. If we believe that there are faults in the organizations, we are going to believe that the programs will not develop the state as it should be done. I feel that this competition is going to sharpen in all higher education or postsecondary education. And this is something that really drives home the point that we have to start planning cooperatively. It can be done; we have confidence in the commission of this state, in spite of the representation. We have confidence in the executive director because he has demonstrated many times his willingness, his catholicity, and respect for all kinds of institutions in the state.

Frankly, I do not have much relationship with the 1202 function in Arizona. I work at a county level, and this is an organization at the state level. Its impact upon us so far is very negligible. Time, I suppose, will take care of that. I do know that the voluntary coordination has increased in this state, and I believe that this is a true step forward. I also believe that out of voluntary coordination among the institutions of the state will come perhaps a willing acceptance of good legislation that will bring us together in a more meaningful way.

Edwin Rumpf:

I must say that I'm pleased to be with you this afternoon. As I look at the panel I note that I'm the only fed--and the feds are fair game no matter where they go. I would like first of all to express the regrets of Dr. Pierce, our Deputy Commissioner of Occupational and Adult Education. He was invited to be here, but because of another commitment could not make it, and as a result, you see me before you.

I would like to begin by acknowledging the very excellent work that I think Professor McKinney has done. I think his work to bring understanding to the work of the 1202 commissions and to bring together the various groups that might be affected by the 1202 commissions has been notable. I would also be remiss if I didn't acknowledge the work of the Education Commission of the States and also John Phillips and especially Charles Griffith. I think Charlie represents the kind of thing that has happened in the Office of Education that I think can happen around the country and should happen if the 1202 commissions are really going to function effectively. About a year ago, I was asked to work with the Bureau of Postsecondary Education in the Office of Education and with Charlie Griffith. And may I say that while that detail ended last June 30, Charlie and I still get together, and we still communicate with each other, and I think this is the key to the understanding that needs to be developed if the various segments of education are going to see the total program function effectively.

We hope that in our comments we might stimulate some meaningful discussion and as a result build some bridges of understanding and cooperation and that in the final analysis whatever we do that our efforts will be based on services to people. I think so many times we look at ourselves in our own particular setting and see how it's going to affect us, then we lose sight of the big mission in life and that is what we have to do as educators in providing these services to people.

I noted in Harry McKinney's presentation this morning, that he talked about concerns. I think many of these concerns could be translated into issues. One issue that I would like to just mention briefly is that good planning requires cooperative participation by those concerned or affected. If you read that section of the law where it talks about establishing a state commission and the various groups that should be involved, we find in the proposals submitted many instances where the private sector was totally neglected. I think this is another case of people not understanding, not seeing the broad picture; just as Mr. Hassell mentioned earlier about people in vocational education not seeing other segments of education in which they should be intimately associated and involved. One of the things that I think has been a great deterrent to the growth of 1202 commissions has been this business of participation. You know and I know that if you have a commission that has been established, you will always have other persons who should have been included and who were missed. And we know that from past factors that unless you are sitting there on that table and have a voice in what goes on, it will have very little impact upon you.

A second issue involves this business of comprehensive statewide planning. And again I'd just like to make reference to the law, Section 1203. I won't read that but you should review it. In looking at what has been presented and looking at it from the standpoint from vocational education, we already do develop comprehensive planning that involves the total picture. In many of the instances if you look at what has been happening in so-called postsecondary education, (and let us call it postsecondary education even though here today people talk about postsecondary in one sentence, and in the same breath, revert to higher education), the thing that we need bear in mind is that we have to develop a comprehensive plan that looks at the total picture. We talked this morning about the measures of efficiency. We talked about the numbers of students. I submit that if we are going to get anywhere in education, we need to look at the quality of the product. That is, the quality of the educational program should be measured by the success of the product. We talked about good working relationships--another issue as I see it, and I ask, good for whom? Is it good for people in traditional higher education; is it good for people in vocational-technical education? What do we mean by comprehensive postsecondary education planning? Again, I submit that it must be good for the persons who are concerned.

We need to recognize dignity and worth of all postsecondary education. We can't look at this problem or this matter as something in traditional higher education and that "other part", as we made reference to it this morning. We need again to look at the totality and we need to look at all of these parts as being of equal worth. Finally, we need to have an agency in the state that will provide educational leadership. There are many people who think that the 1202 commission is the answer. I believe that it probably can contribute much to the solution of these problems, but we are never going to do it unless we do the kinds of things that were suggested earlier. We must get together and discuss our problems, just as Charlie Griffith and I have gotten together to the mutual understanding and benefit of both of us. People really hold the key to what can happen in terms of comprehensive statewide planning, but we are going to have to involve other people. You are going to have to recognize that, just as people in vocational education cannot go along in the same old way they have always gone along, neither can people in traditional higher education, or what many of us now refer to as postsecondary education. Thank you very much.

Richard Millard:

I think there is very little question that all of us agree that there is a desirability for cooperation, a desirability of working together in common planning, a necessity of recognizing the continuity of the planning process, and so on. I think, however, that we need to introduce a little political and other realism into the picture at the present time. We are not in quite the world that we were in before the amendments of 1972. We are not in the same world economically, not in the same world educationally, and not in the same world in terms of political expectations. All you need to do is take a look at what has happened in the last year to the so-called surplus that the various states have had. There are a number of people in this room from states in which the surplus not only has vanished but turned into a deficit. Funds have been cut back for institutions of all types of levels. From this standpoint then, we are certainly not in the world in which we can expect miracles overnight. I think it has become extraordinarily important to evaluate the work of the 1202 commission to date, extraordinarily important to look at what our functions in this respect are. There are also other factors that have entered into the picture, including the growing recognition of the demographic factors upon which we are basing our activities. Simply examine the change in what we used to talk about as a college-age student. The college-age student is no longer necessarily 18 to 21 years old, or 18 to 23 years. He may be anywhere from 16 to 99.

A second factor which must be contended with is the fact that there are really fifty different and unique states and a series of territories which simply are not alike. And to expect them to do all the same thing in the same way at any one time is utter nonsense.

The third factor which enters into this picture is the recognition that what we are really talking about at this point, whether we call it 1202 or anything else, is the necessity for reassessment of the federal and state relations and the recognition of the function of the federal government as it relates to the states. Not to structure them, not to dictate what they should do, but to reinforce the states in terms of recognition of national as well as state efforts.

Now with that somewhat dismal background, let me get back to the 1202 legislation. I would like to strongly urge you, in addition to studying the various sections that Harry has discussed in the report, to read very carefully the first section on legislative history and the process of implementation. If there was one thing that was really an act of genius, and I think to a certain extent Dr. Hassell has pointed this out; the one thing that was really unique about what happened in Congress was that for a brief second the conference committee caught a vision. That vision was not, I would suggest, the result of the Williams Bill, nor the result of the occupation education bill; it was the result of the confluence of several things. One went back before either the Williams Bill or the House bill, and that was the recognition for the first time, on the part of the federal government, that the states are already involved in comprehensive planning and have been for a long time. And from this standpoint, this comprehensive planning was not invented by the amendments of 1972. The recognition of the need for cooperation was not invented by the amendments of '72 either, but what the amendments of 1972 did do was for the first time give it a new scope, and this did change the map and in a way from which we can never go back. It did point out first of all that from this point on, at least as far as the conference committee report is concerned, you cannot plan for the segments in isolation without dire consequences for all concerned.

The fascinating part of all of this is that the states had already begun to recognize this far more than they are given credit for. It was between 1960 and 1970 that state planning agencies, coordinating boards, and higher education agencies, primarily came to existence. There were 16 in 1960, and there were 47 in 1970. They varied in power and scope, but the interesting thing about almost all of them was that among the charges to them was to plan for the orderly growth and development of higher education and its related functions within the states. Now from that standpoint, what the Congress said was, at this point we can no longer tolerate fragmentation. From this point, it becomes extraordinarily important that the continuity of the planning process in the states is to be recognized by the federal government and to be supported by it -- not dictated to, but supported by.

Now, let's look at what the commissions have done, and here I would have to disagree with my colleague to a partial extent. I think that Item B in the occupational part of Title X is an extraordinarily important part, and it does point to the need within the range of occupational and vocational education for providing the continuity between elementary and secondary and postsecondary education. But the major impact of the bill is not characteristic only in Title X, not even only in 1202 and 1203, but is characteristic of the student aid parts of the bill, characteristic of a number of the aspects of the modifications that were made in 1972, and this is the recognition of the new community of postsecondary education. We have heard a lot today about vocational education, and it is tremendously important, and what happens in relationship to the vocational education bill now could radically change the structure of everything else. We are part of the same community, and we better recognize it.

Community colleges have always been part of postsecondary education; they are a vital part of postsecondary education--they are still the fastest growing part. The problem has not occured there yet, it will, but it has not yet. I have not heard very much about the role of private higher education, and I have not heard a great deal about the role of the proprietary postsecondary education. What the bill does point to again, and I cannot stress this too strongly, is the recognition of the new community as a whole.

Now let's go back to the standpoint of what has happened and what has not been done. To expect an absolute miracle to have taken place from April 25, 1974 to April 11, 1975 seems to me is just dangerous wool-gathering. There is far too much involved. Remember the function of education is to develop the diversity of educational opportunity which is commensurate with the needs of the citizens as a whole. This is not a fight, or should not be a fight, between colleges and vocational education, or four-year institutions and proprietary institutions. Yet too frequently it can be thought so. Now if you look at this in terms of what has been done, the millenium has not come but there has been progress. Progress in spite of administrative opposition from the very beginning, in spite of the fact that both of the presidents within the last few months have said they did not want to fund Title X, not because there is not interest, but because it would cost too much. How can you expect that in one year, less than one year, with $26,000, adequate planning for the entire range of postsecondary education could take place? And then you criticize the development of the commission on the basis that the millenium has not come. I think you are daydreaming. I know too many people in this room who have worked too hard to try to move in the direction of involving a wider and wider range of people. Granted, there is a point at which it still is not equal, but there are orthodoxies in vocational education; there are orthodoxies in higher education; and believe me, I suspect there are even orthodoxies within community colleges. These do need to be overcome, but they will not be overcome by deciding that something has not worked simply because it has not accomplished everything at once.

Now I would like to go one step further. What is adequate? Let's suppose the 1203 section was dropped altogether from the 1202 and that Title X never gets funded. Is this just going to stop? We cannot very well afford to let it stop. There are still legislators in state capitols including the capitol of Arizona who are concerned about the effective utilization of resources, the difficulties involved, the dangers in conflicting programs of types of institutions. In some places, I know this is not true of Arizona, but in some places there are types of institutions less than a block away from each other doing almost the exact same thing under a different name. I strongly suspect that whether the 1202 disappears or not, the educational amendments of 1972 have redrawn the map. And regardless of what takes place nationally, the states will demand that the educational community on the postsecondary level, and with the elementary and secondary levels, begin to operate in complementation, or by golly, we are all going to hang separately. Education is going to be in a kind of situation in which it may be extraordinarily difficult to redefine the goals of this country in terms of an educated electorate. I think the opportunity is ahead, and I would hate to see the momentum that has been gained thus far, lost. But whether lost or not, I think the pressures are such that we're going to have to work together and have to forget that we have separate orthodox paths. Thank you.

An extended discussion followed the panel presentations. Dr. John Phillips moderated the question and answer session which is recorded here in edited form - ed.

Phillips: "Well, I would say that we had four excellent and spirited presentations from our panelists. Now, however, before we entertain questions from the floor, I need to cover one more point of business. I have been asked to submit an item for the record of this meeting from Dr. Ralph Dungan who is Chancellor of the Department of Higher Education for the state of New Jersey. I will not read you the entire correspondence from Dr. Dungan, but I would like to read certain portions."

> I would submit to you (Dr. Phillips) that you are entitled to receive the support of educational leaders in any effort which you make to encourage the citizens, through the 1202 commission, to address some of the pressing planning and coordination problems. In fact, I would say that if you do not pursue such a strong leadership role, you can very well be accused of not properly fulfilling your responsibilities. I say this because I believe that, lacking evidence of measurable and solid performance for 1202 commissions, which is another way of saying that one should identify priorities and planning goals, the federal money involved might very well be frittered away, as has happened in so many other programs. I believe that the most important thing that the Tempe meeting can do is to set in motion a process which will ultimately define a number of planning problems or tasks to which 1202 commissions in the several states might address themselves. The items on this list should be quite specific. Frankly, I am fearful that bad results will follow if strong efforts are not made to insure that the 1202 commissions are really effective instruments which address real problems, rather than federally supported boondoggles. Specifically, I believe that the Congress would be justified in not providing continued funding in support of state efforts in planning and coordination. And even worse, that the whole notion of comprehensive statewide and regional planning and coordination would be hopelessly discredited.

"Ralph has also sent along a list of what he would regard as high priority planning and coordination tasks, which I will gladly interject should discussion warrant it, or if anyone requests that I do so.

"I think the next step should be to ask if any of our panelists would like to respond to any of the comments offered so far."

Prince: "I would like to respond to Dick Millard's urging that we must not let the comprehensive planning idea die. I truly agree with this. I think that agencies will become surrogate to all of us if we do not continue in our efforts. I indicated that for a long time the legislature in Arizona did our planning for us. I think we all ought to do our own planning. I think that what we have accomplished in the past through the volunteer approach is the first step toward true professionalism. I realize that I am not saying anything appreciably different from what Dick (Millard) said, but I am absolutely convinced that unless we get together on these things, we will have a half a dozen other agencies that will be doing it for us."

Question: "This morning, we heard the comment that we need to have more communication and people like Dr. Prince. And we need to get together with the heads of various agencies to communicate and talk about big issues that people like yourself, Dr. Prince, like to talk about. I would like to hear your reaction to that, and I would also like to ask what kind of big issues would you like to see in a discussion or a communication with so-called postsecondary planners?"

Prince: "I would like to cite a very interesting issue, very interesting for me and I believe of great interest and importance to the people of this very large county in which we are presently meeting. As you may know our counties in Arizona are as large as some states. We have 9200 square miles here in Maricopa County. I think Arizona State University needs to expand in this county. We have a tremendous investment in five existing community college campuses. It is imperative that the university and the community colleges work together to expand the services of the university into other areas of the county in a way so that they not only do not cut into our servicibility, but, in fact, complement it. The attempts of the university in this county in the past to do this kind of thing, and to do it alone, has brought about a very strong disagreement within the ranks of the legislature. I believe that if two large agencies such as the Board of Regents and the State Community College Board got together and did some cooperative planning, the legislature would move. Another university could occur in this county which would not be in competition with, but in cooperation with our existing institutions. That is the type of issue and level at which we should be working."

Millard: "I would like to comment on two things. One of them is the data matter. It was brought up earlier this morning, and one of the things said was that some states have a primary activity of collecting data. This was commented on as though it might be bad. I think you have to take into account that there are different levels of development in each of the states, and probably before you can have something to talk about, you would have to get the data. I do not think we should apologize in any way for those states that feel it is important at this juncture to build the kind of data base upon which further discussion is to take place. The second thing I would like to comment on comes back to this matter of state-federal relations. One of the persistent problems is the problem of federal fragmentation. If you go back and trace the history of federal legislation since the early 50's, how many times has the federal government enacted legislation that called for the establishment of a particular group and mandated a particular structure? And how much of what we are faced with now is a result of trying to bring the groups back together, when they should never have been separated? I think the area of vocational education is a case in point. If we had from the beginning thought of all education as career involvement and career development, whether it is to become a professor of philosophy, as I did, or to become an automobile mechanic, a lot of the problems which now exist would not be here. But we set up, or rather the federal government sets up, separate compartmentalizations and requires the states to do likewise. And then we wonder why there is confusion on the state level. I think we have got to work toward a much more effective integration, coordination, and cooperation on the federal level, as well as on the state level. This becomes particularly important if we are to continue moving in the direction of federal/ state partnership.

"This leads me back to still another comment I wanted to make to you in relationship to the planning process. I think it is very important to distinguish between the substance of the planning process and the particular form of the agencies which do the planning. What is important is that planning be done, and I think you have to add something else. Such planning will not get done in abstraction. The planning agency sitting in Phoenix or Denver or Concord or Sacramento that does master planning and has huge visions all by itself is not going to get anywhere. The planning process does have to involve, it seems to me, the people planned for. And this is not the same thing as to say that everybody has to sit around a table and engage in confrontation. I think we get confused over what is fundamental in this and what is structurally irrelevant, and it seems to me that it is high time we got back to the substantive issues including the importance of such things as data bases."

Hassell: "Here is where I feel we are with 1202 today and with what is happening with coordinating agencies and government agencies. One of the major problems which has confronted statewide planning from the beginning is that the state legislatures and the governors' offices staff the agency about halfway and then expect them to do about three times the amount of planning and administrative work they are able to do. So here we are in 1202 and, I am not being critical, it is largely a result of history to date, but I think the federal government has to decide what it expects out of 1202. Each state is deciding what it expects. We need to take a look at this during the next year and decide if 1202, as it exists, can really work. Can we do what is expected? If we cannot, we need to do one of two things. We can back off and recognize exactly what Dick Millard has been saying and do that which we can do, and do it well, or we can forget it. The federal government has a leadership role here to first decide what is at stake, and I think it has the right to expect some things--just as the state has a right to expect some things. Then each state must decide as to whether or not the 1202 will exist."

Millard: "We have student assistance legislation coming up for review now, we have vocational education legislation coming up, and we have the revisions to the Amendments of 1972 coming up now. It does seem to me that the federal government has to make up its mind as to whether or not this is a federal structure or a state structure responding to federal objectives."

Phillips: "I find much of what is being said rather confusing. One side of the argument seems to be that the essential definition of goals, functions and objectives of program services is education which rests, under the constitution and the whole historical tradition of the United States, with the states. And that the federal government responsibility is to reinforce and support the efforts of the states to do as they see fit, in accordance with their estimation of what the needs of the citizens of that state are. On the other side, I get the sense that the federal government has a series of national priorities which are defined in legislation. These are divided up into various pieces, such as, vocational education, higher education, and so forth. Therefore, the federal government should exercise more leadership and more direction, and provide more coordinated federal presence in the states. At this point, I am hard pressed to know how you resolve that. We set up all these different arrangements, and then when we try to consolidate, that is fought off by the different people who have different interests in legislation. Then we set up the commissions according to the federal law, and we try to balance off the federal and the state competing claims or territorial identities, and we get criticized for failing to provide leadership."

Hassell: "At this point in our history, I am personally glad that the 1972 Amendments were not funded. If we again go back to the legislation, we have two very distinct parts. And yet when we established these commissions, we went back to the old trusteeship routine. In some states we have boards of higher education. In others, we have other people; and, believe it or not, in a few cases some state advisory councils on vocational education went to their governor and said they should be appointed as the 1202 commission. Well, to me, to appoint a state board of higher education, or a state board of education, or any one agency, even a vocational advisory council, is a stumbling block to the commission's effectiveness. You look at the total dollars authorized and never appropriated, and you look at the extensive responsibility given these commissions.

"Had the legislation been funded, you people in this room would probably be the most powerful educational group in the country. You were charged with writing the plan for disbursement of millions of dollars, contingent upon how well your plan was implemented. If an institution did not implement your plan, the funds could not be disbursed. It was that simple. So the 1202 commission had a very broad responsibility and I think the responsibility went beyond the ability of any one group. I hope when Congress looks at the legislation again, they will take the membership in Part A, take the membership in Part B and merge the two."

Question: "It has several times been suggested that the chief state school officers in the nation do have an awareness of some of these issues. But can anyone on the panel or in the audience set forth briefly the present level of awareness by the chief state school officers as to the potential impact of the 1202 commission? I ask that because primarily the chief state school officer is the chief policy maker for the system which affects approximately 30 million kids. To what extent have their conferences and their discussions related to the 1202 involvement?"

Millard: "I think we have to recognize two or three things. In the first place I am very sure this has not been a major issue of discussion for the chief state school officers. Second, I think we are still operating under somewhat of a misapprehension, again relating to the nature of the law itself. I think there are eight states in which the chief state school officer is in charge of the full range of education. Those eight are fully aware of the importance of the 1202 structures and their importance in those states.

But this was not, with all due respect to Mr. Hassell, an elementary-secondary act. I think the other thing that has to be recognized is that the chief state school officers do not think it was. From this standpoint, there is one very important item under Title X-B, which does say that the 1202 commission should work with the elementary and secondary system in increasing awareness of career opportunities and seeking a balance between vocational and academic programs on the elementary and secondary level. That is the only reference. Now from the standpoint of the Act itself, it is a postsecondary act and I think we have a tremendous job to do on the postsecondary level. There is, however, another job that is equally important, and that is increasing articulation between elementary and secondary and postsecondary. But this is not quite the same problem.

"And while I still have your attention, I would like to respond to some of John Phillips' remarks regarding the somewhat confusing atmosphere surrounding this discussion. What I would like to suggest to you, John, is this. You have made tremendous strides in attempting to reinforce the state-federal partnership. But, if I may put myself way out on a limb, I think we have a lot of history to undo. I think that we should be working toward a kind of complementation in which the federal government does have an important responsibility in encouraging the development of an effective state partnership."

Hassell: "From the state advisory council viewpoint we can not emphasize strongly enough that this is 'cradle to grave' legislation. Again I say, look at the legislation. If you can assume that where Congress puts the dollars is where Congress puts the priorities, then again I ask you to look at Section 1058. This is where you get down to the brass tacks, ladies and gentlemen. After the two items dealing with state advisory councils and federal compliance, the very next item is that adequate provision be made by such agency for programs described in Section 1057 (a)(3). That is not just an assessment of secondary means, it is the complete, total infusion of occupational education into the elementary and secondary levels, on equal footing with traditional academic education. To the end that no kid who leaves high school, a technical institute, or a college will be ill prepared for a job. That is pretty strong language. And 850 million dollars worth of authorization in Part B is contingent upon those very three factors. Today I say that it is 'cradle to grave' and until the educational community views it this way, Congress is not going to put any money into it."

Question: "I think there is reality in the history of the law. As Dick Millard pointed out, 1202 commissions originated in a traditional senate bill which stated its expectation that they would be the existing boards of higher education in the states, and the comparable house position really continued on that theme. The House and Senate conferees were definitely concerned about building on existing agencies and I think they all thought in terms of existing higher education agencies. The reality in the matter is that it did bring in the occupational education act which did have a strong emphasis on broad participation of a wide range in higher education. The charge was to bring together what you all are having a very difficult time even today bringing together . I think the one thing that the conferees did not intend to do was to suddenly mandate the creation of a whole new series of agencies. It was an attempt at the last minute to say that there is a need for all of these groups to work together and here is an attempt that unfortunately is specific in federal law. It was a higher education recognition of the senate bill which was continued in the house bill. Secondly, the form in which 1203 was developed in the relationship to either Title X(A) or (B) has always been in a senate bill and was always in a house bill. So, therefore, to talk about 1203 as something of a merger of Title X(A) and (B) is a joke, and it is not the case. It is something separate and independent. That does not mean it can't relate, or be complementary, but I think to constantly talk about 1203 as something of an extension or just a melding of (A) and (B) is just not the way it was. When the conference agreement was presented to the conferees by Mr. Quie on the 25th of April, the 'broadly and equitably' provision had included details of elementary and secondary education and a whole series of other recommendations which have been mentioned. The conferees eliminated all those references. Again, the point was that this was a postsecondary education planning provision. I do not think the conferees would say they saw the vision of a perfect form, but they sensed the problem and thought that something needed to be done about it, and this is their attempt. The states may be working it out even better than the law prescribed anyway."

Phillips: "I would like to cite Aims McGuinness for his insightful remarks on the legislative process, and I would like to add a comment of my own. What concerns me is that we now have something in place which is what the states and territories have called the 1202 commissions. We are sitting here on April 11 and no miracles have occurred, but miracles should not be expected. In less than a year's time, we have these structures in place, and we have a little tiny fragment of money, just a little bit, and it has been spread out among all these commissions to do something. Now, it has been spread out in such a way that the states have had, in my estimation, a fairly high degree of latitude in the way of setting these up and defining their functions, and the federal government has not tried to impose any kind of specialized regulations, participation, representation, subsequent goals or planning activities. What worries me is that what if something should happen and someone should put in, not 3 million, but 30 million? Could you take the heat in your state if instead of $26,105, it was $326,105, and you had a mandate to do something? Are you prepared to deal with that kind of contingency? Do you have the plans for now to plan how to carry out the spirit of 1202?"

Question: "I think you have a very positive thing to build on here, and that is the spirit of an understanding and a need to do something that is different from what has been done before. But as long as I have attended these various conferences and debates, and quarrels about 1202 at all levels, local, state and national, I have been impressed with the fact that we are simply not very realistic. Part of this involves the federal/state relationship. Part of it involves a lack of understanding of the degree and level of development of statewide planning for any particular level. So I think I would like to address my question to Dr. Prince whose wise remarks struck me as being very politically astute and very realistic. I guess what I want to ask is, Dr. Prince, when do you think the local taxpayers are going to demand the kind of thing we are talking about and trying to impose in the Congress? I do not get a sense that they are that much concerned about forcing Arizona State University and the junior college district to work together."

Prince: "I must agree with your assessment. I think there is an apathy which is habitual in nature. Interest at various levels remains constant at that particular enclave. The desire for this broad planning is at the state level and it is motivated probably not by a desire for greater kinds of education, but motivated by cost factors and that is not the best kind of motivation sometimes. We are still arguing in this state (and we are, of course, a young state) whether we should have 330 public schools systems. We talk about reducing to 230 and all hell breaks loose. We still believe in local options, home rule, the county, the smaller the frame of governmental authority, the better it is. Assuredly, things may be slowly changing, but if I were to go out to sell a bond issue today, I doubt if I would argue for comprehensive state planning itself."

Question: "Well, that helps me respond to John Phillips' question, because I do not think any of us, whether we represent elementary, or secondary, or higher, or adult education, or any other group, could handle anything like $300,000 right away."

Comment: "I think we have a major problem that this meeting is not set up to really take care of, and that is that we are in trouble as long as we argue about whose responsibility it is to do something· as long as we talk in broad philosophical arenas without any definition. I do not believe that the federal administration is prepared to choose a particular issue that all state commissions should attack. On the same side of the fence, none of us has really presented an issue which would be a single issue for the commissions to work on. May I suggest that one thing that we might do then is to appoint a committee to attempt to select an issue which might be approached by all state commissions during this next year. Now I am not saying that you have to spend all of your allotment on that one issue. But maybe if there was one issue that all state commissions could attack throughout the year, there would be some continuity between the 51 representatives. Then the state commissions could take on those other issues that are so important in their state."

Phillips: "I would like to remind everyone that the states have principal responsibility for education. It is not a federal responsibility. You have a 1202 commission because of the fact that in the early 60's a lot of us began to realize there was really only one place at which you could plan and coordinate, and that was probably at the state level, so now you have a federal government assisting in this demonstration. However, if the states, or local community, or whatever, will attempt to proceed with the development and management and support of the educational program within the state, the federal government would probably not be involved. The federal government responds. You have a vocational education program and other programs because someone has demanded this of the federal government, but to say that we need leadership and coordination out of the federal government is not realistic. You can get implementation, you can get assistance, you can get the federal government to listen and then to assist in the identification of what education needs. But I think you people of the 1202 commissions are going to have to listen and try to devise the kinds of things that the states need and want to achieve. That, I think, is the more appropriate role, and I do not think you should look for us to hold up the banner so that you all will follow."

Question: "It seems to me that the only involvement, the only reasonable or practical reason for the federal government to be involved at all in state level planning, is that the federal government is putting dollars into the program at the state level and has conditioned those dollars by asking the state to come up with a viable comprehensive plan so they can be sure that the dollars they put into the state are supplementing and complementing the efforts of the state. Therefore, I completely disagree with a remark made earlier. I do not think there is one issue you can prescribe. I think we ought to be in each of the fifty-five jurisdictions, attacking those problems that are the most critical in our individual jurisdictions. That may yield 55 different problems, but I think would be the best way of serving the interests of postsecondary education.

"The federal government has already made a great contribution. We now have 51 jurisdictions involved in planning. It is a beginning. It is happening. Progress is being made and it will never be like it was before. I think the federal government should not think in terms of imposing planning on the states but rather to think in terms of saying, before we put dollars into vocational education or into facilities construction, we want to see a coordinated state plan."

Rumpf: "I would like to respond to a few things said today. First, you mentioned two or three times that the vocational education legislation expires as of June 30. This is true of certain parts of the legislation, but the basic parts, B and C, are permanent pieces of legislation.

"The other thing I would like to point out is that the present legislation for vocational education could support many of the programs suggested in Title X. We can support programs at the traditional secondary level and also at what we are now talking about as postsecondary. We find that in this part of the country, particularly, where they do not want to have the ivy league stance that we have back east, we have vocational education programs that are offered in four-year degree-granting institutions. I guess the people in the West are teaching us something in the East. We are finding more and more of this in the last few years. I think this is brought about for a couple of reasons; first of all, many people who have gone through four years of study at graduate institutions, discover that what they got did not prepare them to do something after they got out of the institution. So now we see many of the four-year institutions now moving in and providing programs that a few years ago would not have been provided in that type of institution.

"Finally, I would like to state that just as state advisory councils have become such a very important element in support of vocational education, I believe that if the

1202 commissions, the advisory councils, and the manpower councils now being established, should begin to have some communication, and together, under the auspices of the 1202 commissions, develop a comprehensive plan, then we would really be able to do the job."

PART IV - INFORMATIONAL SESSIONS

Two officials of the Department of Health, Education and Welfare were invited to present information about their programs which has special relevance to the 1202 commissions - ed.

Following are the remarks of Mr. Charles I. Bunting, Planning Officer, Fund for the Improvement of Postsecondary Education:

The Fund has one very unique aspect with respect to its relationship to 1202 commissions: we're not mentioned at all in Section 1202 or Section 1203. Rather, the reverse is the case, the Section 1202 commissions are mentioned in our legislation, Section 404. This has posed a little problem to us. In our first year, the spring of 1973, we had 1400 proposals sitting there, with the mandate of our law which indicates that no grant or contract shall be made by the Fund to an institution of postsecondary education without providing the 1202 commissions an opportunity to review and comment on that proposal. It posed us a problem since we had 1400 proposals submitted, kind of overnight, in that first year, and we wanted to make some grants. With the help of John Phillips and Dick Millard we did what we could in that situation and that was to send the proposals to the closest thing to a 1202 commission. So 1973 was a very unusual year. We did, however, get some very useful comments back, but we also learned from that experience. We asked in a very open-ended way for comments and review on proposals in that first year, and we learned that it would be perhaps helpful for us to provide more guidance in terms of kinds of questions and issues that we would hope that you might focus on in reviewing our proposals.

But last year, fiscal year 1974, was also a bit unique that we were seeking comment from you on proposals last spring, just at the time you were setting up, and about the time that John Ottina was sending out all those letters. So that in some ways it's fair to say that this year, fiscal year 1975, is the first year when there can be a sort of true test of the proposal review requirement that's built into our legislation. And yet, having said that, we have quite an enviable record to equal or beat this year. In fact, last year's process in sending to you proposals for serious consideration and obtaining your comments was, at least from our point of view, extremely successful. We sent out approximately three hundred proposals, or about three times as many as we knew we could fund, and we received greater than 80 percent response rate on those proposals, both by mail and telephone. These comments related to the feasibility of the proposal, its relationship to state policies, the potential future impact, and so forth. All of these were very helpful. More important than the 80 percent return rate was the quality of the comments. On the whole they were excellent and very helpful to us and to our Board of Advisors in two respects; first, in terms of making ultimate decisions as to who can get the grant; and second, in terms of you raising questions and issues which you are closer to and more aware of, questions that we should raise in further investigation of a particular project, such as negotiation over a budget or scope of work issue.

We also did a bit more of an analysis on the nature of the comments coming back from you last year. We came up with a couple of other findings: Within the group of 300 proposals that we sent out to you, we received back a higher proportion of reviews on proposals that were submitted to us by the public institutions than on those submitted by private institutions. Second, we received back a higher proportion of reviews on proposals submitted to us from the collegiate sector, that is two-year and four-year institutions, as opposed to those from providers of education in the broader sense of postsecondary education, postsecondary vocational technical institutes, community-based groups, businesses, unions, and state agencies.

These last comments lead me to make a couple of observations on what I think are some interesting and potentially fruitful parallels between the Fund program and the 1202 commissions. We have at least one guiding principle in common, in that we are both established in part to encourage and legitimize a broader range of programs and services than would be found within any particular educational sector. Another way to put it is to make the concept of postsecondary education more of a reality. As I was reading Dr. McKinney's article of last year on representation, his first look at that question with the 1202 commissions brought to mind a very interesting parallel. You may not be too familiar with our Board of Advisors or its role. The legislation did not require us to create one, but it did kind of encourage us to. In any event, we wanted to. And so we had a 15-member Advisory Board appointed by the Secretary, 8 members of which are members of the lay public (at least one student will serve on that group). The educators who are appointed (one of whom is a 1202 executive director) are selected in part because of their breadth of background and their ability to see beyond their own particular occupational role or setting. Our Advisory Board has both an overview role on all aspects of the Fund and a very tangible role in voting, both on program directions and on grants, potential grants above a certain budget level. But I think that in many respects its role, philosophy and the kind of composition of our Advisory Board has some very interesting parallels with the 1202 commissions.

At any rate, given this similarity of purpose, I think we shall, as we proceed together, discover greater opportunities for mutual help than we have yet realized. I think the proposal review mechanism is a very excellent first step in the sense that it's a very practical, concrete, and (at least to us) extremely helpful function. It gives us a chance to be talking directly with you, not so much about political issues, not so much about representation or structural issues, or legislative matters, but about programs. And this mechanism itself can lead to other kinds of outcomes. We have two examples already this year where proposals that we sent for your review led you to conduct site visits to take a look at the applicant organization simply to learn more about it. They both happened to be noncollegiate community-based organizations of one kind or another with which the commission staff had not been familiar up to that point.

Beyond the proposal review process, there are other kinds of non-legislative areas for working together of equal importance. For example, we are now beginning, after having our projects in place in the field for 20 months, to get outcome data and other kinds of results from them which I think could be quite useful to you and your role in the state. For example, in New Mexico, Kansas, and Illinois we have five or six projects at small, struggling private colleges, which seem to have led to pronounced increases in enrollment and tuition income. The increases generally resulted from a shift in purpose on the part of the institution or a shift in clientele, shifting from a traditional age group to serving adults, or shifting to serving people in the nearby community.

Some of these kinds of results that we're getting, we have an obligation to share back to you since you've participated in the creation of them in the first place. I think some of them may turn out to be quite useful to you in your role within the state. Some other projects of ours may even be identifying new possible future roles for the 1202 commissions or other types of state level agencies. I think particularly of the project we have going with the New York State Regents and the American Council on Education. This project is assessing the for-transfer credit value of education and training programs sponsored by non-educational institutions (businesses, unions, government agencies, and the like) so that employees who have gone through those programs can go to a college and negotiate for an amount of credit. That approach, given the wealth of kinds of programs out there, is not one that really can be centralized.

John Phillips will understandably urge considerable activity on the student aid function. But I would suggest in addition the question beyond access, which is really what we are mainly working on. That is, dealing with the issue of quality and diversity of educational offerings available to students in the broad range of postsecondary education after entrance, the issue of public policies at state and federal levels, and the extent to which they reinforce this concern. One final example: A 1202 commission raised to us certain issues involved in recent changes in the veteran's administration regulations on educational benefits related to nontraditional programs. We had not really focused on that and the 1202 commission, hearing from programs within the state, called us and indicated we ought to be very concerned about this because a number of programs will be affected by it. And, as a result we did.

We're greatly appreciative of your work in looking at the proposals. We know what we get from it, and we get a great deal. I sometimes worry that perhaps the returns to you are not as great, given all the work that is put into it. But if there is an adequate return, I must repeat how appreciative we are of the work done on these proposals.

Following is an edited verson of the question and answer session which took place after Mr. Bunting's presentation - ed.

Question: "How confidential are the reviews we make of these proposals?"

Bunting: "I checked that out before I came, as I thought it might come up. Our practice now and will continue to be that your comments back to us on proposals ought to be treated like the comments from the traditional field reader. That is to say, the comments should be held confidential, in order to allow you freedom of expression. One new problem is that the current status of the freedom of information policies as far as public agencies like ours go, is that field readers' comments can be shared back with applicants. But their names cannot be associated with them. Now that approach, of course, cannot directly translate to state commissions' comments on proposals, since there is but one in each state. So that leads us to the conclusion that that comment cannot be shared with the applicant at least not as a state commission comment. However, our practice has been to say 'one reviewer rasied this question.' That way we're treating the comments not as a state comment but rather as one of several reader comments that we're getting on any particular proposal. In that way, I think that your confidentiality needs are protected and we're getting better quality comments and more candid."

Question: "We have a problem with your requests to review, which I think is perhaps not unique to our state. We received six very lengthy proposals from institutions and agencies in our state; we're a small staff and my commission is puzzled as to how to respond to this. It would take much staff time to review these properly, and we certainly wouldn't want to do it any other way. Do you have any suggestions for a commission such as ours: should we expend money to retain someone who can do this for us, or how would you suggest we handle it?"

Bunting: "Your problem is not all unique--we've been hearing this from many states. We are obliged by law to seek your comments and review; you are not obliged to return those comments, or to actually comment or review back to us. Nothing requires you to do that; nothing will stand in the way of our making a grant to an institution in your state if you don't review or comment. We want your involvement, and if we don't hear from you, we inquire about it. We understand if you couldn't get to it or something like that. But we just want to doublecheck that something didn't simply get lost in the mail. I would suggest that if you happen to be familiar, or someone on your staff is familiar, with a particular institution or program outlined in a proposal, perhaps you can comment on it at a low investment staff time. That may be one way to sift through them. We're doing a lot of other checks on these proposals by the way--yours is not the only review coming in."

Question: "How much emphasis do our comments have?"

Bunting: "Well, I don't think there's any simple answer to that. We have found that they have greater impact where there is particular attention to the local situation, for example, with relationship to state concerns. You know about the feasibility or the people involved that we wouldn't know, and its potential impact given the other events that might be coming up in the state. If we get a very negative comment on a proposal, that gives us pause for thought. We will not necessarily follow your advice. We will, however, seek to satisfy our minds and hope to satisfy you as to why we did not follow your advice. We're not really asking for advice from you on whether or not to fund something. After all, we're getting a lot of comment on that, and also, we're considering on a national basis. But, we feel an obligation to at least explain and defend our action where there is a disagreement on something. Frankly it isn't easy for me to respond to questions in a simple way as to what effect comments have. If it is strongly positive, it certainly has an influence; if it is strongly negative, it has an influence as well."

Question: "How soon must you have our comments?"

Bunting: Well, we try to indicate in the letters to you that it depends on the program, it depends upon the date of our advisory board meeting. That's what our program is geared to, and for that reason I must apologize on the competency-based proposals that we sent to you. We had a very short turn around on those, but we have to gear it to these advisory board meetings where we actually do vote on projects. That's a good example (the competency-based one) where state comments were particularly useful, because we were seeking responses on the question: How does this particular approach relate to current statuses of state licensing or certification practice or policy? It is at that level of response that we are often learning something from the state that we just don't have access to otherwise. For most proposals, you have a month to review; these are within our comprehensive program which is the largest program."

Following are the remarks of Dr. Theodore H. Drews, Acting Director, Division of Survey Planning and Analysis, National Center for Educational Satistics, Department of Health, Education and Welfare - ed.

I'm pleased to be here today because this continues the tradition that we had for a very long time of very close and good cooperation between the Bureau for Postsecondary Education and the National Center for Education Statistics. This is continuing even though the National Center has moved out of the Office of Education.

Well, now without taking any position on whether or not the 1202 commissions ought to exist, you do exist, and to the extent possible I'd like to involve you in the kinds of things we do. Now for those of you who are not familiar with it, HEGIS, the Higher Education General Information Survey, is (to the extent that any survey is) the official federal tabulation of the quantifications of higher education throughout the country. We address this survey package to all three thousand institutions in higher education. We cover the characteristics of the institutions, the numbers and characteristics of the student bodies, the faculty. We get reports on their financial structure and operations on their facilities and then such other kinds of special things as the policy makers either in the Congress or the Exeuctive Department may need.

Currently we have a number of mandated surveys as a result of the recent legislation. The HEGIS survey is not primarily, or at least not totally devoted to surveying the federal establishment, but rather we think of it as serving the total educational community wherever it may be located, that is, at the institutions, associations, states, and the other federal agencies. And that, of course, is why I'm here because we do want to serve the states. We also hold the HEGIS conference every year to which we invite representatives from the states, from the institutions and associations and all interested sectors of the educational community. We bring in the other federal agencies, the representatives of the institutional respondents such as AACRO, NACUBO, and the other people who are going to chastise us because we are imposing too large a respondent burden. We let the feds who need the data and the state people who need the data come to the people who have to provide it and hopefully bring some kind of understanding out of that. And, of course, the people in the Center have tried to keep on top of what's going on in education, try to anticipate what's going to be interesting and needed in the future.

The HEGIS contains those things that the education division of HEW needs and wants. The National Science Foundation makes an input and we gather data for them, the Bureau of the Census, NIH, and many other agencies. There are now no racial data in HEGIS, but we have already been approached about eliminating the duplication of the OCR surveys with HEGIS so that we move still farther towards just a single survey. The states have been cooperating with us since 1967 when we first approached the notion of cooperation to them. I got into a car back in late 1966, and went out and visited those states in which I knew there was an effective coordinating agency, for example in New York, Pennsylvania, Michigan and Illinois, and started talking up the notion of HEGIS. I asked them, "wouldn't you like to participate in this survey and make it your own for your own purposes so that you can acquire these data and use them for planning?"

Our eventual goal, stated in 1967 and still the same today, is eventually to have all the 50 states working with us, telling us what ought to be in HEGIS, and then gathering data to use them for planning and for policy development. We now have 34 states working with us actively in HEGIS, actually doing the job of sending out the survey forms, of acquiring the facts from these institutions, doing some varying degrees of editing review on those survey forms and then in turn sending them on to the National Center. You may not be aware of this activity in your state because this is a voluntary survey and our system has been to reach out to the states at meetings like this and say "we want to work with you, if you will volunteer we'll get together with you." We get a variety of kinds of entities in the state volunteering to be the HEGIS agency. In some cases it's a state planning office in the governor's office. In other cases it's a governing board or a coordinating agency. In some cases in the past we've had difficulty in identifying the function, but if they have some reasonable assurance that they can do it, we are very pleased to do it with them.

My purpose in being here is to let you know that here's an on-going process, a survey that is recognized by the institution, a survey that is bringing in valid and reliable data, a survey that has national norms against which a state can measure itself and measure its own quantities in its educational operation. I have with me a limited number of lists of our cooperating agencies in the various states to discuss with you so if in your state you are not aware that anything like this is going on. I hope that if someone is doing it in your state, you might approach those people and get together with them and take advantage of this activity that's taking place in your state.

There are other kinds of state coordinations. Your state library board is coordinating our survey in libraries, which is called a Library General Information Survey. Also, we have a big survey program that has only been getting under way in the last few years in the area that we call "other postsecondary." And we call it other postsecondary only because we in higher education were there first, so the guys that came later had to be others. It's the vocational and technical programs and so forth. We've already put out a directory of postsecondary schools without the collegiate programs. Another one is coming up now for 1975 data. We have a survey of enrollments in programs in noncollegiate postsecondary schools that's going to be published in 1975. In the past the higher education people didn't display a lot of interest in this. On the other hand there wasn't anybody that we could talk to generally as a group in this area of other postsecondary. So Dr. Calvert, the chief of surveys in this area, talked to the chief state school officers because there is some overlap in the secondary education levels. And this first survey in this area was done by having chief state school officers coordinate it. We are going to also notify you of this activity and the request for coordination within the states on the next surveys that come out in this area. Hopefully, there can be some coordination and there can also be a maximal exchange of this kind of information and a maximum utilization of it within the states. Hopefully all these various entities within the states will at least be talking to each other in the same numeric and quantified statistical language.

I would like you to consider this fact, that here's a survey that can get you off the ground very fast in accumulating a data base on your own state. I'm not only talking about the future, but if you were interested in this, we have a data bank, we have tapes of previous years data related to your state. These data are all formatted so that they are consistent over the years. You can get yourselves some trend data. If you develop your plans and programs and develop your need for data I think we can help you by giving you the past data and participate with you in acquiring data for the future. Also we would then solicit your input as to what else we should do for you in the future.

Now one other activity that we are undertaking that will have importance for you is that the new legislation that moved NCES and that also gave us our new mandate, required us to provide assistance to the states in their statistical operations. We are off to a running start on that. We have two projects presently underway. One of them seeks to find out from the various states their current statistical sophistication of the data bases at the state level and then to develop from that a program that can actually be in operation next fiscal year to provide assistance that they need. The other project involves using some pilot states that are ready to develop at the state level a data base that is consistent with our new higher education finance manual for higher education. We've written a manual together with NCHEMS that is approved by NACUBO, and also is consistent with the American Institute of CPA's audit guides for higher education. Now we think the next course is to help the states to utilize the new kinds of data which are going to be present in the institution that are going to be much more informative. The pilot program is not so much to see whether or not this can be installed at a state level, we already know that can happen. The pilot program is intended to develop a cookbook, training materials, procedures, file formats, and all those kinds of things that would be easily exportable to any state that wanted to set up this kind of data program. Of course, we realize that that comes back to our benefit, because the more sophisticated the states become in these uniform data systems the better, quicker, and more accurately they're going to respond to us as we request information out of these data bases. I think that what we do in this regard depends upon the future life, health, and strength of the 1202 commissions and their role within the states. Remembering that HEGIS is a totally voluntary survey, we, up to this point, have had to depend upon states volunteering to do it, but there is a new day coming. We now have money with which to help the states set up a system and indeed we have great plans for even more money in the future perhaps even to assist the states even more directly so that they can really have a mechanism. Thank you.